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NATIONAL COMMUNICATIONS FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION

REVISION OF THE GUIDELINES FOR THE PREPARATION OF NATIONAL COMMUNICATIONS FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION

Proposed improved guidelines for national communications from Parties not included in Annex I to the Convention

Text by the Chair

I. INTRODUCTION

A. Objectives

1 Taking into account Article 4, paragraphs 1 and 7, of the Convention, the principal objectives of the guidelines for the preparation of national communications from Parties not included in Annex I to the Convention (non-Annex I Parties) shall be:

(a) To assist non-Annex I Parties in meeting their commitments under Article 4, paragraph 1, and Article 12, paragraph 1, of the Convention, as well as under other relevant decisions of the Conference of the Parties (COP);

(b) To encourage the presentation of information in a consistent, transparent and comparable, as well as flexible manner, taking into account specific national circumstances;

(c) To facilitate the presentation of information on support required for the preparation and improvement of elements in national communications from non-Annex I Parties, as outlined in these guidelines;

(d) To serve as policy guidance to the operating entity of the financial mechanism for the timely provision of financial support needed by developing country Parties in order to meet the agreed full costs of complying with their obligations under Article 12, paragraph 1, as referred to in decisions 11/CP.2, 2/CP.4, 2/CP.7 and 6/CP.7;

(e) To facilitate the process of compilation and consideration of the communications, including the preparation of compilation and synthesis reports in accordance with the relevant decisions of the COP;

(f) To ensure that the COP has sufficient information to carry out its responsibility for assessing the overall aggregated effects of steps taken by the Parties towards the implementation of the Convention, as referred to in Article 10 of the Convention.

B. Scope

2. The guidelines cover the reporting of information on, inter alia, national circumstances; the integration of climate change concerns into sustainable development programmes; the estimation of national greenhouse gas (GHG) inventories; programmes containing measures to facilitate adequate adaptation to climate change; programmes containing measures to mitigate climate change, the development and transfer of technologies; research and systematic observation; education, training and public awareness; information and networking; capacity-building, constraints and gaps, and related financial, technical and capacity needs.

3 Parties are encouraged to include any other information they consider to be relevant to the achievement of the objective of the Convention and suitable for inclusion in their national communications, including, if feasible, material relevant to calculations of global emission trends.

II. NATIONAL CIRCUMSTANCES

4. Parties should provide a description of their national and regional development objectives and priorities, including information on features of their geography, climate and economy which may affect their ability to mitigate and adapt to climate change, as well as information regarding their specific needs and concerns arising from the adverse effects of climate change and/or the impact of the implementation of response measures, as contained in Article 4, paragraphs 8, 9 and 10, of the Convention

5. Parties should use, as appropriate, the following headings to describe their national circumstances: geographic profile, climatic profile, population profile, economic profile, energy, transport, industry, mining, tourism, waste, agriculture and fisheries, forest, land use, health, environment, education and research institutions, and other circumstances.

6. Parties are encouraged to provide a summary of information regarding their national circumstances, as appropriate, in tabular form.

7. Parties should provide a description of existing institutional arrangements relevant to the preparation of their national communications on a continuous basis, as well as a list of perceived deficiencies in this area.

III. INFORMATION RELATING TO THE INTEGRATION OF CLIMATE CHANGE CONCERNS INTO SUSTAINABLE DEVELOPMENT PROGRAMMES

8. With a view to facilitating the formulation and implementation of sustainable development programmes, Parties are encouraged, as appropriate, to provide information on national and/or sectoral programmes which they have planned or implemented addressing climate change issues.

IV. NATIONAL GREENHOUSE GAS INVENTORY INFORMATION

9. Each Party shall, in accordance with Article 4, paragraph 1(a), and Article 12, paragraph 1(a), develop, periodically update and communicate to the COP information on anthropogenic emissions by

sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, following the provisions in these guidelines.

A. Inventory years

10 Each Party shall estimate and report national GHG inventories for the year 1994 and periodically thereafter, in accordance with time frames to be established by the COP. Parties should, to the extent possible and taking into account data availability, provide time series of inventory information from 1994 or 1990 up to the most recent year reported.

B. Methodologies

11. Parties should use the *Revised 1996 Intergovernmental Panel on Climate Change (IPCC) Guidelines for National Greenhouse Gas Inventories*, hereinafter referred to as the IPCC Guidelines, for estimating and reporting their national GHG inventories.

12. In accordance with the IPCC Guidelines, Parties may use different methods (tiers) included in the Guidelines, giving priority to those methods which are believed to produce the most accurate estimates, depending on national circumstances and the availability of data. Parties can also use national methodologies where they consider these to be better able to reflect their national situation, provided that these methodologies are accessible to the international community.

13. The IPCC Guidelines offer a default methodology which includes default emission factors and in some cases default activity data. As these default factors, data and assumptions may not always be appropriate for specific national circumstances, it is preferable that Parties use their country-specific emission factors and activity data, provided that these have been developed in a scientifically sound manner, are considered to be reliable and are documented transparently.

14. Parties are encouraged, as appropriate and to the extent possible, to apply the *IPCC Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories* (hereinafter referred to as the IPCC Good Practice Guidance), taking into account the need to improve transparency, consistency, comparability, completeness and accuracy in inventories. In so doing, Parties could consider:

(a) Identifying key source categories as described in the IPCC Good Practice Guidance;

(b) Implementing quality assurance and quality control (QA/QC) procedures;

(c) Archiving all relevant inventory information;

(d) Estimating uncertainties, including quantitative information, where available.

C. Reporting

Institutional arrangements

15. Parties are encouraged to describe procedures followed and arrangements made to collect and archive data for the preparation of national GHG inventories, as well as efforts undertaken to make this a continuous process, including information on the role of the institutions involved.

Estimates of emissions and removals

16. Each Party shall provide in its national inventory, on a gas-by-gas basis and in units of mass, estimates of carbon dioxide (CO_2), methane (CH_4) and nitrous oxide (N_2O) emissions by sources and removals by sinks.

17. Parties should, to the extent possible, report on other gases such as carbon monoxide (CO), nitrogen oxides (NO_X), and non-methane volatile organic compounds (NMVOCs). Parties are encouraged to provide information on sulphur oxides (SO_x).

18. Parties are encouraged, to the extent possible, to provide information on hydrofluorocarbons (HFCs), perfluorocarbons (PFCs) and sulphur hexafluoride (SF_6).

19. Parties are encouraged, to the extent possible, to estimate and report CO_2 fuel combustion emissions using both the sectoral and the reference approach, and to explain any large differences between the two approaches.

20. Parties should report emissions from international aviation and marine bunker fuels as two separate entries in their inventories. Emission estimates from these sources should not be included in the national totals.

21. Parties wishing to report on GHG emissions and removals expressed in CO_2 equivalents should use the global warming potentials (GWP) provided by the IPCC in its Second Assessment Report ("1995 IPCC GWP Values") based on the effects of GHGs over a 100-year time horizon.

22. Parties should provide information on methodologies used in estimating GHG emissions and removals, including a brief explanation of the sources of emission factors and activity data. If Parties estimate emissions and removals from country-specific sources and/or sinks which are not specified in the IPCC Guidelines, they should explicitly describe the source and/or sink categories, methodologies, emission factors and activity data used in their estimation of emissions, as appropriate.

Tables

23. Each Party shall use tables 1 and 2 of these guidelines in reporting its national GHG inventory, taking into account the provisions established in paragraphs 16 to 18 above. In preparing those tables, Parties should strive to present information which is as complete as possible Where numerical data are not provided, Parties should use the notation keys as indicated.

24 Parties are encouraged to include in their national communications the inventory sectoral tables and worksheets[1] of the IPCC, where applicable, as an appendix to the national GHG inventory section, in both electronic and hard copy format.[2]

Uncertainties

25. Parties are encouraged to provide information on the level of uncertainty associated with the inventory data and their underlying assumptions. Parties are encouraged to provide, to the extent possible, quantitative information on uncertainties, where this is available, and to indicate the methodologies used for estimating these uncertainties.[3]

Key sources

26. Parties are encouraged to provide, to the extent possible, information on any key source analysis as indicated in the IPCC Good Practice Guidance.

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[1] The IPCC software (see http.//www.ipcc-nggip.iges.or.jp/public/gl/software.htm) provides for automated reporting in the worksheets, as well as in the sectoral and summary tables.

[2] An electronic version of the tables or worksheets facilitates processing of the inventory data.

[3] The IPCC Guidelines and the IPCC Good Practice Guidance provide methodologies for estimating uncertainties.

V. PROGRAMMES CONTAINING MEASURES TO FACILITATE ADEQUATE ADAPTATION TO CLIMATE CHANGE

27. Each Party shall, in accordance with Article 4, paragraph 1 (b), (e) and (j), and Article 12, paragraph 1 (b) and (c) of the Convention, provide to the COP information on the general description of steps taken or envisaged towards formulating, implementing, publishing and regularly updating national and, where appropriate, regional programmes containing measures to facilitate adequate adaptation to climate change, and any other information they consider to be relevant to the achievement of the objective of the Convention and suitable for inclusion in their communications.

28. Parties should provide information on their vulnerability to the adverse effects of climate change, including climate variability and extreme weather events, and on measures being taken to meet their specific needs and concerns arising from these adverse effects.

A. Methodological approaches

29. Parties should, to the extent that their financial resources and capacities allow, use approaches and/or best practices to assess their vulnerability and adaptation[4] to climate change, as appropriate, and focus on policy options which could be integrated into national planning processes for sustainable development. Parties are encouraged to use traditional knowledge-based approaches and practices in assessing their vulnerability and adaptation to climate change.

30 Parties should use methodologies contained in the following technical guidelines, as appropriate, for assessing their vulnerability and adaptation to climate change: the *IPCC Technical Guidelines for Assessing Climate Change Impacts and Adaptations* (Carter et al. 1994), the *UNEP Handbook on Methods for Climate Change Impact Assessment and Adaptation Strategies* (Feenstra et al. 1998), the *International Handbook on Vulnerability and Adaptation Assessments* (Benioff et al. 1996); or any other methodologies they consider better able to reflect their national situation, provided that these methodologies are accessible to the international community, including the IPCC

31. Parties should use, as appropriate, methodologies for the evaluation of adaptation strategies and measures contained in the *Compendium of Decision Tools to Evaluate Strategies for Adaptation to Climate Change*, which is available from the UNFCCC web site, www.unfccc.int/issues/meth_tools.html. They should also use other methodologies where they consider these to be better able to reflect their national situation, provided that these methodologies are accessible to the international community, including the IPCC.

B. Sectors/areas/processes

32 Taking into account their national circumstances and priorities for sustainable development, Parties should focus their assessment of vulnerability and adaptation on any number of sectors/areas/processes such as, but not limited to agriculture, energy, fisheries, forests, human health, human settlement, industry, tourism, water resources, coastal zones, wetlands and other ecosystems, rangelands and livestock, biodiversity, desertification and land degradation.

C. Reporting

33. Information on vulnerability, and on strategies and measures for adapting to climate change, should be provided under the following headings, as appropriate.

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[4] Parties may use the guidance, methodologies and approaches provided in the adaptation policy framework, which is currently being developed by the United Nations Development Programme in collaboration with non-Annex I Parties

Scope

34. Parties should provide information on the scope of their vulnerability and adaptation assessment, including identification of vulnerable sectors/areas/processes that are most critical.

Methodologies

35. Parties should include a description of methodologies, tools and approaches used, including scenarios for the assessment of impacts of, and vulnerability and adaptation to, climate change, as well as any uncertainties inherent in these methodologies.

Vulnerability and adaptation to climate change

36. Parties should provide information on their vulnerability to the impacts of, and their adaptation to, climate change in key vulnerable sectors/areas/processes. Information should include key findings, and direct and indirect effects arising from climate change, allowing for an integrated analysis of the country's vulnerability to climate change. In so doing, Parties should consider:

(a) Impacts of climate variability and extreme weather events;

(b) Sectors and population groups most affected;

(c) Stakeholders, including decision makers, in the management of adverse effects of climate change;

(d) Current capacities in weather forecasting, early warning systems and disaster preparedness and rehabilitation, including, as appropriate, financial, technological, institutional, legal and managerial capabilities.

Adaptation strategies and measures

37. Parties should provide information on and, to the extent possible, an evaluation of, adaptation strategies and measures for adapting to climate change, based on the assessment of vulnerability and adaptation to climate change in key sectors/areas/processes.

38. Parties should provide information on those adaptation strategies and measures for adapting to climate change which are of the highest priority, as well as those which improve their ability to cope with the impacts of climate change, including climate variability and extreme events (adaptive capacity).

39. Parties should report on the use, where relevant, of policy frameworks, such as national adaptation programmes, plans and policies for developing and implementing adaptation strategies and measures, such as the national adaptation programmes of action (NAPA) for the least developed countries.[5]

40. Parties should include information on opportunities for the implementation of adaptation measures, including pilot and/or demonstration adaptation projects being undertaken or proposed. They should also provide information on barriers to the implementation of adaptation measures.

41. Parties should include, as appropriate, information on national, subregional and/or regional capacity-building activities for integrating adaptation to climate change into medium and long-term planning

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[5] Decision 28/CP 7 indicates that information contained in national adaptation programmes of action may constitute the first step in the preparation of initial national communications

42. Parties should include, as appropriate, information on how support programmes from Parties included in Annex II to the Convention are meeting their specific needs and concerns relating to vulnerability and adaptation to climate change.

VI. PROGRAMMES CONTAINING MEASURES TO MITIGATE CLIMATE CHANGE

43 Each Party shall, in accordance with Article 4, paragraph 1 (b) and (j) and paragraph 7, and Article 12, paragraphs 1 (b) and (c), of the Convention, provide to the COP information on the general description of steps taken or envisaged for formulating, implementing, publishing and regularly updating national and, where appropriate, regional programmes containing measures to mitigate climate change by addressing anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, and any other information they consider to be relevant to the achievement of the objective of the Convention and suitable for inclusion in their communications.

A. Methodological approach

44. Based on national circumstances, Parties are encouraged to use whatever methods are available and appropriate in order to formulate and prioritize programmes containing measures to mitigate climate change; this should be done within the framework of sustainable development objectives, which should include social, economic and environmental factors.

45. In their assessment of these programmes on various sectors of the economy such as energy, transport, industrial processes, forestry, agriculture and waste, Parties may find the following technical resources helpful: *Technologies, Policies and Measures for Mitigating Climate Change (IPCC Technical Paper I); Greenhouse Gas Mitigation Assessment: A Guidebook by the United States Country Studies Program, Climate Change 2001: Mitigation (Contribution of Working Group III to the Third Assessment Report of the IPCC).*

B. Reporting

46. Based on national circumstances, Parties are encouraged to provide, to the extent their capacities allow, information on programmes containing measures which they believe contribute to mitigating climate change by addressing anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, including, as appropriate, information by sectors on methodologies, scenarios, results, measures and institutional arrangements.

47. Parties are encouraged to include, to the extent their capacities allow, a list of proposed projects for financing, in accordance with Article 12, paragraphs 4 and 7, of the Convention.

VII. DEVELOPMENT AND TRANSFER OF TECHNOLOGIES

48. Pursuant to decision 4/CP.7, its annex, and the implementation of Article 4, paragraph 5, of the Convention, Parties are encouraged, in the light of their social and economic conditions, to provide information on:

(a) Country-specific technology needs;

(b) Transfer of, and access to, environmentally sound technologies and know-how and the development and enhancement of endogenous capacities, technologies and know-how;

(c) Assistance received from developed country Parties and the financial mechanism of the Convention and, as appropriate, its utilization, in support of the development and enhancement of endogenous capacities, technologies and know-how, and in the implementation of programmes and measures identified in the technology needs assessment.

VIII. RESEARCH AND SYSTEMATIC OBSERVATION

49 Parties should provide information on climate change research and systematic observation, including their participation in and contribution to activities and programmes, as appropriate, of national, regional and global research networks and observing systems.

50. Parties are encouraged to provide, as appropriate, information on their national programmes for meteorological, hydrological and climatic observations, including programmes for monitoring GHG concentrations, sea levels, desertification, ecosystem quality, and other indicators of climate change.

Research

51. Parties should include information on scientific research relating specifically to the assessment of impacts of, and adaptation to, climate change, including, as appropriate, modelling and prediction, as well as effects of the El Niño Southern Oscillation (ENSO) phenomenon on climate variability and extreme weather events.

52. Parties are encouraged to provide information on research relating to programmes containing measures to mitigate climate change, to programmes containing measures to facilitate adequate adaptation to climate change, and to the development of emission factors and activity data.

Systematic observation

53. Parties should provide, to the extent that their capacities allow, information on their participation in national, regional and global observing systems (such as the Global Climate Observing System, Global Terrestrial Observing System and Global Ocean Observing System).

54. Parties are encouraged to use the UNFCCC reporting guidelines on global climate change observing systems [6]

IX. EDUCATION, TRAINING AND PUBLIC AWARENESS

55. Parties should provide, to the extent possible, and as appropriate, the following information on activities relating to climate change education, training and public awareness at national and/or, where appropriate, subregional and regional levels. In providing this information, Parties are encouraged to consider·

(a) Institutions and/or programmes, expertise and resources, including information centres, for climate change education, training and public awareness;

(b) Scholarship and/or fellowship programmes for climate change;

(c) Incorporation of climate change issues into non-formal education and into the curricula of different levels of formal education systems;

(d) Focus and scope of education, training and public awareness programmes on climate change.

X. INFORMATION AND NETWORKING

56. Parties should provide information on their efforts to promote information sharing among and within countries and regions. Information could include the following, as appropriate:

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[6] FCCC/CP/1999/7

(a) Participation in and contribution to networks providing information, data, tools and expertise necessary for the preparation of national communications and implementation of programmes and activities identified in the national communications;

(b) Access to, and use of, information technologies for information exchange;

(c) Availability of resources and training,

(d) A list of national experts, including details of their expertise, who have participated in the preparation of national communications.

XI. CAPACITY-BUILDING

57. Parties should provide, in accordance with decision 2/CP.7, information on how capacity-building activities, as contained in the framework annexed to that decision, are being implemented at national and, where appropriate, at subregional and/or regional levels. This could include, inter alia, options and priorities for capacity-building, participation in and promotion of South-South cooperation, the involvement of stakeholders in capacity-building, coordination and sustainability of capacity-building activities, and the dissemination and sharing of information on capacity-building activities.[7]

58. Parties are encouraged to provide information on relevant needs and/or areas for capacity-building other than those mentioned in paragraph 57 above.

59 Parties should provide information on their capacity-building needs relating to research and systematic observation, and on how these needs are being met and supported by bilateral and multilateral activities and programmes.

XII. CONSTRAINTS AND GAPS, AND RELATED FINANCIAL, TECHNICAL AND CAPACITY NEEDS

60. Parties should, in accordance with national circumstances and development priorities, describe any constraints and gaps, and related financial, technical and capacity needs, as well as proposed and/or implemented activities for overcoming the gaps and constraints associated with the implementation of activities, measures and programmes envisaged under the Convention, and with the preparation and improvement of national communications on a continuous basis, in the areas of:

(a) National GHG inventories, such as lack of national capacities for undertaking national GHG inventories on a continuous basis, or existing methodological and data gaps;

(b) Vulnerability and adaptation assessments, such as data constraints, limitations of the methodologies, models or scenarios,

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[7] In accordance with the annex to decision 2/CP 7, the initial scope of needs and areas for capacity-building covers: institutional capacity-building, including the strengthening or establishing, as appropriate, of national climate change secretariats or national focal points; enhancement and/or creation of an enabling environment; national communications; national climate change programmes; GHG inventories, emissions database management and systems for collecting, managing and utilizing emission factors and activity data; vulnerability and adaptation assessment; implementation of adaptation measures; assessment of mitigation options; research and systematic observation, including meteorological, hydrological and climatological services; development and transfer of technology; improved decision-making, including assistance for participation in international negotiations; clean development mechanism; implementation of Article 4, paragraphs 8 and 9, of the Convention; education, training and public awareness; and information and networking, including the setting up of databases

(c) Programmes containing measures to facilitate adequate adaptation to climate change, such as the identification, development, evaluation and implementation of adaptation measures,

(d) Programmes containing measures to mitigate climate change;

(e) Development and transfer of technologies, such as difficulties encountered in technology needs assessments and technology information, barriers to technology transfer and implementation, or development and enhancement of endogenous capacities and technologies;

(f) Research and systematic observation, such as data constraints or a lack of equipment;

(g) Education, training and public awareness;

(h) Information and networking, such as opportunities for, and barriers to, free and open exchange of data and information;

(i) Capacity-building.

61. Parties should provide information on all financial resources and technical support for the preparation of their national communications provided by themselves, as well as those received from the Global Environment Facility (GEF), Annex II Parties or bilateral and multilateral institutions.

62. Parties should also provide information on financial resources and technical support provided by the GEF, and where possible from other sources, including the Parties themselves, for other climate change related activities.

XIII. SUBMISSION

63. The information provided in accordance with these guidelines shall be communicated by each Party to the COP in a single document, with an executive summary outlining the information contained in the full document, in both hard copy and electronic format.

64. Each Party shall submit its national communication in one of the official languages of the United Nations. The executive summary, which is to be of no more than 10 pages, shall be translated into English and distributed widely. Parties are also encouraged to submit, to the extent possible and where relevant, English translations of their communications.

65. Additional or supporting information may be supplied through other documents such as a technical annex.

Table 1. National greenhouse gas inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol[a] and greenhouse gas precursors

GREENHOUSE GAS SOURCE AND SINK CATEGORIES	CO_2 emissions (Gg)	CO_2 removals (Gg)	CH_4 (Gg)	N_2O (Gg)	CO[b] (Gg)	NO_x[b] (Gg)	NMVOCs[b] (Gg)	SO_x[b] (Gg)
Total national emissions and removals	X	X	X	X	X	X	X	X
1. Energy	X	X	X	X	X	X	X	X
A. Fuel combustion (sectoral approach)	X		X	X	X	X	X	X
1. Energy industries	X		X	X	X	X	X	X
2 Manufacturing industries and construction	X		X	X	X	X	X	X
3. Transport	X		X	X	X	X	X	X
4. Other sectors	X		X	X	X	X	X	X
5. Other (please specify)	X		X	X	X	X	X	X
B. Fugitive emissions from fuels	X		X		X	X	X	X
1. Solid fuels			X		X	X	X	X
2. Oil and natural gas			X		X	X	X	X
2. Industrial processes	X	X	X	X	X	X	X	X
A. Mineral products	X				X	X	X	X
B. Chemical industry	X		X	X	X	X	X	X
C. Metal production	X		X	X	X	X	X	X
D. Other production	X				X	X	X	X
E Production of halocarbons and sulphur hexafluoride								
F Consumption of halocarbons and sulphur hexafluoride								
G. Other (please specify)	X		X	X	X	X	X	X
3. Solvent and other product use	X			X			X	
4. Agriculture			X	X	X	X	X	X
A. Enteric fermentation			X					
B. Manure management			X	X			X	
C. Rice cultivation			X				X	
D. Agricultural soils			X	X			X	
E. Prescribed burning of savannahs			X	X	X	X	X	
F. Field burning of agricultural residues			X	X	X	X	X	
G. Other (please specify)			X	X	X	X	X	
5. Land-use change and forestry	X[c]	X[c]	X	X	X	X	X	X
A Changes in forest and other woody biomass stocks	X[c]	X[c]						
B. Forest and grassland conversion	X	X	X	X	X	X		
C. Abandonment of managed lands		X						
D CO_2 emissions and removals from soil	X[c]	X[c]						
E. Other (please specify)	X	X	X	X	X	X		
6. Waste			X	X	X	X	X	X
A. Solid waste disposal on land			X		X		X	
B. Waste-water handling			X	X	X	X	X	
C. Waste incineration					X	X	X	X
D. Other (please specify)			X	X	X	X	X	X
7. Other (please specify)	X	X	X	X	X	X	X	X
Memo items								
International bunkers	X		X	X	X	X	X	X
Aviation	X		X	X	X	X	X	X
Marine	X		X	X	X	X	X	X
CO_2 emissions from biomass	X							

Notes: Shaded cells do not require entries

[a] The following standard indicators may be used, as appropriate, for emissions by sources and removals by sinks of GHGs: **NO** (not occurring) for a gas or source/sink category which does not occur within a country, **NE** (not estimated) for existing emissions and removals which have not been estimated, **NA** (not applicable) for activities in a given source/sink category which do not result in emissions or removals of a specific gas, **IE** (included elsewhere) for emissions and removals estimated but included elsewhere in the inventory (Parties should indicate where the emissions or removals have been included), **C** (confidential) for emissions and removals which could lead to the disclosure of confidential information

[b] Data on CO, NO_X, NMVOCs and SO_X to be provided to the extent possible (see paragraph 17 above)

[c] Do not provide an estimate of both CO_2 emissions and CO_2 removals "Net" emissions (emissions - removals) of CO_2 should be estimated and a single number placed in either the CO_2 emissions or CO_2 removals column, as appropriate Note that for the purposes of reporting, the signs for removals are always (-) and for emissions (+)

Table 2. National greenhouse gas inventory of anthropogenic emissions of HFCs, PFCs and SF_6

GREENHOUSE GAS SOURCE AND SINK CATEGORIES	HFCs[a,b] (Gg)			PFCs[a,b] (Gg)			SF_6[a] (Gg)
	HFC-23	*HFC-134*	*Other (to be added)*	*CF_4*	*C_2F_6*	*Other (to be added)*	
Total national emissions and removals	X	X	X	X	X	X	X
1. Energy							
A. Fuel combustion (sectoral approach)							
1. Energy industries							
2. Manufacturing industries and construction							
3. Transport							
4. Other sectors							
5. Other (please specify)							
B. Fugitive emissions from fuels							
1. Solid fuels							
2. Oil and natural gas							
2. Industrial processes	X	X	X	X	X	X	X
A. Mineral products							
B. Chemical industry							
C. Metal production	X	X	X	X	X	X	X
D. Other production							
E. Production of halocarbons and sulphur hexafluoride	X	X	X	X	X	X	X
F Consumption of halocarbons and sulphur hexafluoride	X	X	X	X	X	X	X
G. Other (please specify)							
3. Solvent and other product use							
4. Agriculture							
A. Enteric fermentation							
B. Manure management							
C. Rice cultivation							
D. Agricultural soils							
E. Prescribed burning of savannahs							
F. Field burning of agricultural residues							
G. Other (please specify)							
5. Land-use change and forestry							
A. Changes in forest and other woody biomass stocks							
B. Forest and grassland conversion							
C. Abandonment of managed lands							
D. CO_2 emissions and removals from soil							
E. Other (please specify)							
6. Waste							
A. Solid waste disposal on land							
B. Waste-water handling							
C. Waste incineration							
D. Other (please specify)							
7. Other (please specify)	X	X	X	X	X	X	X
Memo items							
International bunkers							
Aviation							
Marine							
CO_2 emissions from biomass							

[a] Parties may wish to express HFC, PFC and SF_6 emissions as either potential or actual Potential emissions should be estimated using the tier 1 approach of the IPCC Guidelines Actual emissions should be estimated using the tier 2 approach of the IPCC Guidelines

[b] Parties reporting HFCs and PFCs should provide emission estimates on a gas-by-gas basis, that is, disaggregated estimates by chemical expressed in units of mass (Gg), as indicated in the table (e g HFC-23), where information is available This should be done by inserting a column for each HFC and PFC gas for which emissions do occur in the country The gases in the column headings are given as examples only Other gases to be reported in this table include HFC-32, HFC-41, HFC-43-10, HFC-125, HFC-134a, HFC-152a, HFC-43-10mee, HFC-143a, HFC-227ea, HFC-236fa, HFC-245ca, C_3F_8, C_4F_{10}, c-C_4F_8, C_5F_{12}, C_6F_{14}, and any other GHG with high global warming potential not covered in this list

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NATIONAL COMMUNICATIONS FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION

REVISION OF THE GUIDELINES FOR THE PREPARATION OF NATIONAL COMMUNICATIONS FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION

Compilation of views by Parties on the proposed guidelines for the preparation of national communications from Parties not included in Annex I to the Convention

Note by the secretariat

I. INTRODUCTION

A. Mandate

1. The Conference of the Parties (COP), by its decision 32/CP.7, invited Parties to submit, by 5 August 2002, their views on the proposed improved guidelines for the preparation of national communications from Parties not included in Annex I to the Convention (non-Annex I Parties). In response to this invitation, eight submissions were received, from Australia, Brazil on behalf of the G77 and China, China, Denmark on behalf of the European Community and its member States and of Croatia, Cyprus, Czech Republic, Hungary, Lithuania, Poland, Slovakia and Slovenia,[1] Myanmar, New Zealand, Uzbekistan and the United States of America.

2. By the same decision the COP requested the secretariat to prepare a consolidated report on the views submitted, for consideration by the subsidiary bodies at their seventeenth sessions.

[1] In the following text the abbreviation EU for European Union is used when referring to the views submitted by Denmark on behalf of the European Community and its member States and of Croatia, Cyprus, Czech Republic, Hungary, Lithuania, Poland, Slovakia and Slovenia.

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B. Scope

3. This report provides a summary of general comments on the proposed improved guidelines (section II), and highlights the detailed views expressed by Brazil on behalf of the G77 and China on the various sections of the proposed improved guidelines (section III).

II. GENERAL COMMENTS AND PROPOSALS

4. Australia, the EU, New Zealand, the United States and Uzbekistan expressed the view that the proposed guidelines provided a good framework for reporting on various elements of the national communications. Australia, the EU, New Zealand and the United States held the view that the proposed guidelines were a vast improvement on the existing guidelines as contained in the annex to decision 10/CP.2, and provided a good basis for further work towards having the new guidelines approved by the COP at its eighth session (COP 8).

5. China held the view that the guidelines annexed to decision 10/CP.2 should be the basis for the future improvement of the guidelines, considering that they played a positive and effective role in helping developing country Parties to prepare their national communications.

6. New Zealand welcomed the open process by which the guidelines were being revised. The United States expressed appreciation to the members of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) and the secretariat for the time and expertise they devoted to preparing the proposed guidelines. Myanmar held the view that the preparation of improved guidelines should be a continuous process.

7. The EU expressed the view that the focus of the national communications should depend on national circumstances. It pointed out that Parties with relatively low levels of greenhouse gas (GHG) emissions and high vulnerability to the effects of climate change should put the emphasis on vulnerability and adaptation, whereas Parties with higher emission levels and greater capacities should seek to increase consistency, transparency, accuracy and completeness in GHG inventories.

8. Myanmar held the view that in order to guarantee the availability of all national communications, a group of experts from the secretariat, or an expert team, should be established to assist the preparation of the national communications by Parties where guidelines cannot be followed due to some limitations. The EU acknowledged the important contribution provided by the CGE in the process of preparing national communications from non-Annex I Parties and took note of the importance of technical support to guide non-Annex I Parties in preparing their national communications.

9. The EU considered it important that the guidelines clearly reflect the reporting commitments laid down in Article 4 of the Convention and expressed the view that the improved guidelines should mainly serve as technical guidance to facilitate the preparation of national communications by non-Annex I Parties. In addition, the improved guidelines should provide guidance to the operating entity of the financial mechanism and other multilateral and/or bilateral funding sources. China stressed its view that the objective of improving the current guidelines was to help non-Annex I Parties to overcome the difficulties they meet in preparing their initial national communications. It therefore underlined its position that the any new guidelines shall not overstretch non-Annex I Parties' capacities and shall not create additional difficulties for them.

10. Australia expressed the view that it may be necessary to clarify where the proposed guidelines place a mandatory role versus where they encourage or endorse a course of action. It pointed out that, for example, paragraph 13 could be misunderstood as *requiring* Parties to develop their own emission factors and activity data rather than *encouraging* them to use country-specific emission factors in their inventory

reporting where they have been developed. The view of Australia was that the latter interpretation was the most appropriate and consistent with the IPCC guidelines for national GHG inventories. It also held the view that it could be useful to review the proposed guidelines as a whole to ensure that the focus is on *how to report* on specific commitments and activities.

11. Australia, the EU and New Zealand expressed the view that the improved guidelines should apply to all Parties which start preparing their second national communications after COP 8, and that Parties which had already started preparing their second national communications should be encouraged to apply the improved guidelines.

Frequency of submission

12. The EU proposed that the non-Annex I Parties shall submit their national communications every three years, to assist the non-Annex I Parties in maintaining the national teams that have been established for preparing the national communications and to strengthen the capacity-building in relation to the UNFCCC process. The United States expressed the view that national communications from non-Annex I Parties should be submitted no more than five years after their initial submissions.

13. The EU proposed that the non-Annex I Parties, especially those with high emission levels, should provide an inventory on an annual basis to the extent their capacities allow. The United States recommended that GHG inventories should be submitted every two to three years in order to ensure that global trends could be calculated accurately. It also suggested that emission inventories from least developed country Parties (LDCs) should be submitted only on a five-year cycle in conjunction with their national communications.

National circumstances and sustainable development programmes

14. The EU proposed that information to be reported under these headings should reflect the country's national sustainable development strategy/poverty reduction strategy, or its plans to prepare and implement a strategy, and that reporting should be to the extent that the capacities of the Parties allow.

National greenhouse gas inventories

15. The EU proposed that the reporting section on inventories in the revised guidelines should be as compatible as possible with the reporting guidelines of Annex I Parties in order to make GHG inventories more comparable and to facilitate compilation and synthesis of aggregate GHG information. It also proposed that the use of the revised 1996 IPCC Guidelines should be mandatory for all Parties. New Zealand indicated that the proposed guidelines provided improved guidance for the reporting of national GHG inventories and proposed to include a further footnote in table 1 of the proposed guidelines to make it clear that memo items were not included in the national total. The United States stressed the importance of applying, to the extent possible, the IPCC Good Practice Guidance in order to improve the consistency and comparability of inventories.

Vulnerability and adaptation to climate change

16. The EU expressed the view that vulnerability and adaptation should be evaluated in the context of country-specific sustainable development and/or poverty reduction strategies, and that synergies should be identified with other national plans/strategies, in particular those related to the United Nations Convention to Combat Desertification (UNCCD), the Convention on Biological Diversity (CBD) and the United Nations Forum on Forests (UNFF). It also considered it important to see this chapter in the context of national adaptation programmes of action (NAPAs) in so far as the NAPAs for some countries

constitute the first step in the preparation of initial national communications. The United States expressed the view that consistency would be useful in the structure of the proposed guidelines with regard to Section V on adaptation-related issues and Section VI on mitigation, and to other sections where possible.

17. Uzbekistan proposed the inclusion of web site addresses for all IPCC documents mentioned, especially those relating to adaptation and mitigation.

Mitigation of climate change

18. The EU considered this chapter highly relevant for some non-Annex I Parties that have better capacities and/or higher absolute emissions. It also stressed its view that mitigation should be evaluated in the context of country-specific sustainable development and/or poverty reduction strategies.

Technology transfer

19. The United States expressed the view that Section VII of the proposed guidelines (development and transfer of technologies) would be enhanced with a reference to reporting on ways of improving the enabling environment for the transfer of environmentally sound technologies, thereby encouraging private sector investments (e.g. removal of market barriers).

Funding

20. The EU expressed the view that reporting of information as outlined in the proposed improved guidelines would imply further guidance on facilitating assistance for the preparation of national communications. It noted that the need for financial and technical support would vary according to national circumstances, the content of the national communications, the work done in the initial and/or subsequent national communications, and NAPAs in the case of LDCs, and that support should be tailored accordingly.

21. Australia recommended that consideration be given to the subsidiary bodies at their seventeenth sessions preparing two draft decisions for consideration at COP 8: one relating to the improved guidelines and the other relating to the timing, frequency, funding and review of national communications. It pointed out that finalization of revised guidelines would also enable detailed consideration to be given to the financial and technical issues associated with new guidelines.

22. The EU proposed that deadlines for applying for funds to support the preparation of the second and/or subsequent national communications should be fixed relative to the submission of the initial or latest one, in order to avoid further delays in the submissions of second and/or subsequent national communications. The United States expressed the view that in order to maintain a five years cycle for the submission of the national communications, it was important that non-Annex I Parties initiate their requests for funding from the Global Environment Facility (GEF) in a timely manner, e.g., no later than two years after their previous submissions.

23. The EU expressed the view that the GEF Secretariat should continue to provide detailed information on the financial support provided to non-Annex I Parties for the preparation of their national communications. It also held the view that funding for reporting purposes should not cover basic field work and that developing countries should be encouraged to use existing funding opportunities under the GEF for regionally or nationally based field work in the areas of adaptation and mitigation. China stressed its view that positive elements of the current guidelines as contained in the annex to decision 10/CP.2 should be maintained, such as those contained in paragraph 13 which encourage non-Annex I Parties to formulate cost-effective national, and where appropriate regional, programmes aiming at the

improvement of the quality of local emission factors and appropriate data gathering, and to submit requests for financial and technical assistance to the interim operating entity of the financial mechanism of the Convention in addition to their request for support for the preparation of their initial communications..

III. VIEWS EXPRESSED BY G77 AND CHINA

24. The G77 and China submitted a proposal containing detailed modifications to the Chairman's text. In the following sections, the secretariat has typed a line through passages of the Chairman's text that the G77 and China propose to be deleted. Additional text proposed by the G77 and China is written in bold italics.

I. INTRODUCTION

A. Objectives

1. Taking into account Article 4, paragraphs ~~1 and~~ 7, of the Convention, the principal objectives of the guidelines for the preparation of national communications from Parties not included in Annex I to the Convention (non-Annex I Parties) shall be:

~~(a)~~ To assist non-Annex I Parties in meeting their commitments under ~~Article 4, paragraph 1, and~~ Article 12, paragraph 1, of the Convention, ~~as well as under other relevant decisions of the Conference of the Parties (COP);~~

~~(b)~~ To encourage the presentation of information in a consistent, transparent and comparable, as well as flexible manner, taking into account specific national circumstances;

~~(c)~~ To facilitate the presentation of information on support required for the preparation and improvement of ~~elements in national communications from non-Annex I Parties, as outlined in these guidelines;~~ ***the completeness and reliability of activity data, emission factors and estimations in the national communications from non-Annex I Parties.***

~~(d)~~ To serve as policy guidance to the operating entity of the financial mechanism for the timely provision of financial support needed by developing country Parties in order to meet the agreed full costs of complying with their obligations under Article 12, paragraph 1, as referred to in decisions 11/CP.2, 2/CP.4, 2/CP.7 and 6/CP.7;

~~(e) To facilitate the process of compilation and consideration of the communications, including the preparation of compilation and synthesis reports in accordance with the relevant decisions of the COP;~~

(e) ~~(f)~~ To ensure that the COP has sufficient information to carry out its responsibility for assessing the overall aggregated effects of steps taken by the Parties towards the implementation of the Convention ***in the light of the latest scientific assessments concerning climate change***, as referred to in Article 10, ***paragraph 2, subparagraph (a),*** of the Convention.

B. Scope

~~2. The guidelines cover the reporting of information on, inter alia, national circumstances; the integration of climate change concerns into sustainable development programmes; the estimation of national greenhouse gas (GHG) inventories; programmes containing measures to facilitate adequate adaptation to climate change; programmes containing measures to mitigate climate change; the development and transfer of technologies; research and systematic observation; education, training and~~

~~public awareness; information and networking; capacity-building, constraints and gaps, and related financial, technical and capacity needs.~~

~~3. Parties are encouraged to include any other information they consider to be relevant to the achievement of the objective of the Convention and suitable for inclusion in their national communications, including, if feasible, material relevant to calculations of global emission trends.~~

2. In accordance with Article 12, paragraph 1, of the Convention, the national communication shall include the following elements of information:

(a) A national inventory of anthropogenic emissions by sources and removal by sinks of all greenhouse gases not controlled by the Montreal Protocol, to the extent its capacities permit, using comparable methodologies to be promoted and agreed upon by the Conference of the Parties;

(b) A general description of steps taken or envisaged by the non-Annex I Party to implement the Convention; and

(c) Any other information that the non-Annex I Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its communication, including, if feasible, material relevant for calculations of global emission trends.

II. NATIONAL CIRCUMSTANCES

3. ~~4.~~ ***Non-Annex I*** Parties ~~should~~ ***may*** provide a description of their national and regional development ~~objectives and priorities, including~~ ***priorities, objectives and circumstances, on the basis of which they will address climate change and its adverse impacts. This description may include*** information on features of their geography, climate and economy which may affect their ability to ***deal with mitigating and adapting*** to ~~mitigate and adapt~~ climate change, as well as information regarding their specific needs and concerns arising from the adverse effects of climate change and/or the impact of the implementation of response measures, as contained in Article 4, paragraphs 8 ***and, as appropriate, in Article 4, paragraphs*** , 9 and 10, of the Convention.

~~5. Parties should use, as appropriate, the following headings to describe their national circumstances: geographic profile, climatic profile, population profile, economic profile, energy, transport, industry, mining, tourism, waste, agriculture and fisheries, forest, land use, health, environment, education and research institutions, and other circumstances.~~

4. ~~6.~~ ***Non-Annex I*** Parties are encouraged to provide a summary of ***relevant*** information regarding their national circumstances, as appropriate, in tabular form.

5. ~~7.~~ ***Non-Annex I*** Parties should provide a description of existing institutional arrangements relevant to the preparation of their national communications on a continuous basis, as well as a list of perceived deficiencies in this area.

~~III. INFORMATION RELATING TO THE INTEGRATION OF CLIMATE CHANGE CONCERNS INTO SUSTAINABLE DEVELOPMENT PROGRAMMES~~

~~8. With a view to facilitating the formulation and implementation of sustainable development programmes, Parties are encouraged, as appropriate, to provide information on national and/or sectoral programmes which they have planned or implemented addressing climate change issues.~~

~~IV.~~ *III.* NATIONAL GREENHOUSE GAS INVENTORY INFORMATION

6. ~~9.~~ Each ***Non-Annex I*** Party shall, in accordance with ~~Article 4, paragraph 1(a), and~~ Article 12, paragraph 1~~(a), develop, periodically update and communicate to the COP information on~~ ***subparagraph (a), communicate to the Conference of the Parties a national inventory of*** anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, ***to the extent its capacities permits,*** following the provisions in these guidelines.

7. ***Taking into account Article 4, paragraph 7 and, that the developed country Parties and other developed Parties included in Annex II shall provide new and additional financial resources to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, the communication of this information is dependent on the effective implementation by developed country Parties and other developed Parties included in Annex II of their commitments in accordance with Article 4 paragraph 3 of the Convention.***

~~A. Inventory years~~

~~10. Each Party shall estimate and report national GHG inventories for the year 1994 and periodically thereafter, in accordance with time frames to be established by the COP. Parties should, to the extent possible and taking into account data availability, provide time series of inventory information from 1994 or 1990 up to the most recent year reported.~~

~~B. Methodologies~~ *A. Technical Guidelines*

Methodologies

8. ~~11.~~ ***Non-Annex I*** Parties should use the *Revised 1996 Intergovernmental Panel on Climate Change (IPCC) Guidelines for National Greenhouse Gas Inventories*, hereinafter referred to as the IPCC Guidelines, for estimating and reporting their national GHG inventories.

9. ~~12.~~ In accordance with the IPCC Guidelines, Parties may use different methods (tiers) included in the Guidelines, giving priority to those methods which are believed to produce the most accurate estimates, depending on national circumstances and the availability of data. Parties can also use national methodologies where they consider these to be better able to reflect their national situation~~, provided that these methodologies are accessible to the international community.~~ ***and provided they are documented transparently.***

10. ~~13.~~ The IPCC Guidelines offer a default methodology which includes default emission factors and in some cases default activity data. As these default factors, data and assumptions may not always be appropriate for specific national circumstances, ~~it is preferable that Parties~~ ***non-Annex I Parties are encouraged to develop and*** use their country-specific emission factors and activity data, ~~provided that these have been developed~~ in a scientifically sound manner, ~~are considered to be reliable~~ and ~~are~~ documente~~d~~ ***these data*** transparently.

11. ~~14.~~ ***Non-Annex I*** Parties are encouraged, as appropriate and to the extent possible, to apply the *IPCC Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories* ~~(hereinafter referred to as the IPCC Good Practice Guidance),~~ taking into account the need to improve transparency, consistency, comparability, completeness and accuracy in inventories~~. In so doing, Parties could consider:~~

~~(a) Identifying key source categories as described in the IPCC Good Practice Guidance;~~

~~(b) Implementing quality assurance and quality control (QA/QC) procedures;~~

~~(c) Archiving all relevant inventory information;~~

~~(d) Estimating uncertainties, including quantitative information, where available~~.

~~C.~~ B. Reporting

Institutional arrangements

12. ~~15.~~ ***Non-Annex I*** Parties are encouraged to describe procedures ~~followed~~ and arrangements ~~made~~ ***undertaken*** to collect and archive data for the preparation of national GHG inventories, as well as efforts undertaken to make this a continuous process, including information on the role of the institutions involved.

Estimates of emissions and removals

13. ~~16.~~ Each ***non-Annex I*** Party ~~shall~~ ***should, as appropriate and to the extent possible***, provide in its national inventory, on a gas-by-gas basis and in units of mass, estimates of carbon dioxide (CO_2), methane (CH_4) and nitrous oxide (N_2O) ***anthropogenic*** emissions by sources and removals by sinks.

14. ~~17.~~ ***Non-Annex I*** Parties should, ***as appropriate and*** to the extent possible, report on ***anthropogenic emission by sources of other greenhouse gases*** ~~other gases~~ such as carbon monoxide (CO), nitrogen oxides (NO_X), and non-methane volatile organic compounds (NMVOCs). ~~Parties are encouraged to provide information on sulphur oxides (SO_x).~~

15. ~~18.~~ ***Non-Annex I*** Parties are encouraged, ~~as appropriate and~~ to the extent possible, to provide information on ***anthropogenic emissions by sources of*** hydrofluorocarbons (HFCs), perfluorocarbons (PFCs) and sulphur hexafluoride (SF_6).

16. ~~19.~~ ***Non-Annex I*** Parties are encouraged, to the extent possible, ***and if disaggregated data are available,*** to estimate and report CO_2 fuel combustion emissions using both the sectoral and the reference approach***es***, and to explain any large differences between the two approaches.

17. ~~20.~~ ***Non-Annex I*** Parties ~~should~~ ***are encouraged, to the extent possible and if disaggregated data are available, to*** report emissions from international aviation and marine bunker fuels ~~as two separate entries~~ ***separately*** in their inventories. Emission estimates from these sources should not be included in the national totals.

~~21 Parties wishing to report on GHG emissions and removals expressed in CO_2 equivalents should use the global warming potentials (GWP) provided by the IPCC in its Second Assessment Report ("1995 IPCC GWP Values") based on the effects of GHGs over a 100-year time horizon.~~

18. ~~22.~~ ***Non-Annex I*** Parties ~~should~~ ***are encouraged to*** provide information on methodologies used in ~~estimating GHG emissions and removals~~, ***the estimation of anthropogenic emissions by sources and removals by sinks of greenhouse gases not controlled by the Montreal Protocol,*** including a brief explanation of the sources of emission factors and activity data. If Parties estimate emissions and removals from country-specific sources and/or sinks which are not ~~specified in~~ ***part of*** the IPCC Guidelines, they should explicitly describe the source and/or sink categories, methodologies, emission factors and activity data used in their estimation of emissions, as appropriate. ***Parties are encouraged to identify areas where data may be further improved in future communications through capacity building and thus encouraged to formulate cost-effective national, and where appropriate regional, programmes aiming at the improvement of the quality of local emission factors and appropriate data gathering.***

19. Non-Annex I Parties are encouraged to provide information on the level of uncertainty associated with inventory data and their underlying assumptions, and to indicate the methodologies used, if any, for estimating these uncertainties.

Tables

20. ~~23.~~ Each ***non-Annex I*** Party ~~shall~~ ***should*** use tables 1 and 2 of these guidelines in reporting its national GHG inventory, taking into account the provisions established in paragraphs ~~16 to 18~~ ***13 to 15*** above. In preparing those tables, Parties should strive to present information which is as complete as possible. Where numerical data are not provided, Parties should use the notation keys as indicated.

21. ~~24.~~ ***Non-Annex I*** Parties are encouraged to include in their national communications the inventory sectoral tables and worksheets[2] of the IPCC~~, where applicable, as an appendix to the national GHG inventory section,~~ in both electronic and hard copy format.~~[3]~~

~~Uncertainties~~

~~25. Parties are encouraged to provide information on the level of uncertainty associated with the inventory data and their underlying assumptions. Parties are encouraged to provide, to the extent possible, quantitative information on uncertainties, where this is available, and to indicate the methodologies used for estimating these uncertainties~~[4]

~~Key sources~~

~~26. Parties are encouraged to provide, to the extent possible, information on any key source analysis as indicated in the IPCC Good Practice Guidance.~~

~~V. PROGRAMMES CONTAINING MEASURES TO FACILITATE ADEQUATE ADAPTATION TO CLIMATE CHANGE~~

IV. GENERAL DESCRIPTION OF STEPS TAKEN OR ENVISAGED TO IMPLEMENT THE CONVENTION

22. Each non-Annex I Party shall, in accordance with Article 12, paragraph 1, subparagraph (b), communicate to the Conference of the Parties a general description of steps taken or envisaged by the Party to implement the Convention, taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances.

23. Non-Annex I Parties may provide information on programmes containing measures to mitigate climate change by addressing anthropogenic emission by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, and measures to facilitate adequate adaptation to climate change, following the provisions in these guidelines.

24. Taking into account Article 4, paragraph 7 and, as appropriate, Article 4, paragraphs 3 and 5, of the Convention, the communication of this information is dependent on the effective implementation by developed country Parties of their commitments under the Convention related to financial resources and transfer of technology.

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[2] The IPCC software (see http://www.ipcc-nggip.iges.or.jp/public/gl/software.htm) provides for automated reporting in the worksheets~~., as well as in the sectoral and summary~~ tables.

~~[3] An electronic version of the tables or worksheets facilitates processing of the inventory data.~~

~~[4] The IPCC Guidelines and the IPCC Good Practice Guidance provide methodologies for estimating uncertainties.~~

A. Programmes containing measures to facilitate adequate adaptation to climate change

~~27. Each Party shall, in accordance with Article 4, paragraph 1 (b), (e) and (j), and Article 12, paragraph 1 (b) and (e) of the Convention, provide to the COP information on the general description of steps taken or envisaged towards formulating, implementing, publishing and regularly updating national and, where appropriate, regional programmes containing measures to facilitate adequate adaptation to climate change, and any other information they consider to be relevant to the achievement of the objective of the Convention and suitable for inclusion in their communications.~~

25. ~~28.~~ ***Non-Annex I*** Parties ~~should~~ ***may*** provide information on their vulnerability to the adverse effects of climate change, including climate variability and extreme weather events, and on measures being taken to meet their specific needs and concerns arising from these adverse effects.

~~A.~~ *Methodological approaches*

~~29. Parties should, to the extent that their financial resources and capacities allow, use approaches and/or best practices to assess their vulnerability and adaptation[5] to climate change, as appropriate, and focus on policy options which could be integrated into national planning processes for sustainable development. Parties are encouraged to use traditional knowledge-based approaches and practices in assessing their vulnerability and adaptation to climate change.~~

26. ~~30.~~ ***Non-Annex I*** Parties ~~should~~ ***may*** use methodologies contained in the following technical guidelines, as appropriate, for assessing their vulnerability and adaptation to climate change, ***taking into account their national circumstances and priorities for sustainable development:*** the *IPCC Technical Guidelines for Assessing Climate Change Impacts and Adaptations* (Carter et al. 1994), the *UNEP Handbook on Methods for Climate Change Impact Assessment and Adaptation Strategies* (Feenstra et al. 1998), the *International Handbook on Vulnerability and Adaptation Assessments* (Benioff et al. 1996); or any other methodologies they consider better able to reflect their national situation, provided that these methodologies are ~~accessible to the international community, including the IPCC~~ ***documented properly***.

27. ~~31.~~ ***Non-Annex I*** Parties ~~should~~ ***may*** use, as appropriate, methodologies for the evaluation of adaptation strategies and measures, ***taking into account their national circumstances and priorities for sustainable development,*** contained in the *Compendium of Decision Tools to Evaluate Strategies for Adaptation to Climate Change*[2] ~~, which is available from the UNFCCC web site, www.unfccc.int/issues/meth_tools.html~~. They ~~should~~ ***may*** also use other methodologies where they consider these to be better able to reflect their national situation, provided that these methodologies are ~~accessible to the international community, including the IPCC~~ ***documented properly***.

~~A. Sectors/areas/processes~~

~~32. Taking into account their national circumstances and priorities for sustainable development, Parties should focus their assessment of vulnerability and adaptation on any number of sectors/areas/processes such as, but not limited to: agriculture, energy, fisheries, forests, human health, human settlement, industry, tourism, water resources, coastal zones, wetlands and other ecosystems, rangelands and livestock, biodiversity, desertification and land degradation.~~

~~[5] Parties may use the guidance, methodologies and approaches provided in the adaptation policy framework, which is currently being developed by the United Nations Development Programme in collaboration with non-Annex I Parties.~~

[2] It is available from the UNFCCC web site, www.unfccc.int/issues/meth_tools.html

~~B. Reporting~~

~~33. Information on vulnerability, and on strategies and measures for adapting to climate change, should be provided under the following headings, as appropriate.~~

~~Scope~~ ***Reporting***

28. ~~34.~~ ***Non-Annex I*** Parties ~~should~~ ***may*** provide information on the scope of their vulnerability and adaptation assessment, including identification of vulnerable sectors/areas/processes that are most critical.

~~Methodologies~~

29. ~~35.~~ ***Non-Annex I*** Parties ~~should~~ ***may*** include a description of methodologies, tools and approaches used, including scenarios for the assessment of impacts of, and vulnerability and adaptation to, climate change, as well as any uncertainties inherent ~~in~~ ***to*** these methodologies.

~~Vulnerability and adaptation to climate change~~

30. ~~36.~~ ***Non-Annex I*** Parties ~~should~~ ***may*** provide information on their vulnerability to the impacts of, and their adaptation to, climate change in key vulnerable sectors/areas/processes. Information should include key findings, and direct and indirect effects arising from climate change, allowing for an integrated analysis of the country's vulnerability to climate change. ~~In so doing, Parties should consider:~~

~~(a) Impacts of climate variability and extreme weather events;~~

~~(b) Sectors and population groups most affected;~~

~~(c) Stakeholders, including decision makers, in the management of adverse effects of climate change;~~

~~(d) Current capacities in weather forecasting, early warning systems and disaster preparedness and rehabilitation, including, as appropriate, financial, technological, institutional, legal and managerial capabilities.~~

~~Adaptation strategies and measures~~

31. ~~37.~~ ***Non-Annex I*** Parties ~~should~~ ***may*** provide information on and, to the extent possible, an evaluation of, adaptation strategies and measures for adapting to climate change, based on the assessment of vulnerability and adaptation to climate change, ~~in key sectors/areas/processes.~~ ***including climate variability and extreme events, on key sectors/areas/ processes, including on those which are of the highest priority. Where relevant, Parties may report on the use of policy frameworks, such as national adaptation programmes, plans and policies for developing and implementing adaptation strategies and measures.***

~~38. Parties should provide information on those adaptation strategies and measures for adapting to climate change which are of the highest priority, as well as those which improve their ability to cope with the impacts of climate change, including climate variability and extreme events (adaptive capacity).~~

~~39. Parties should report on the use, where relevant, of policy frameworks, such as national adaptation programmes, plans and policies for developing and implementing adaptation strategies and~~

~~measures, such as the national adaptation programmes of action (NAPA) for the least developed countries.[6]~~

~~40. Parties should include information on opportunities for the implementation of adaptation measures, including pilot and/or demonstration adaptation projects being undertaken or proposed. They should also provide information on barriers to the implementation of adaptation measures.~~

32. ~~41.~~ ***Non-Annex I*** Parties ~~should~~ ***may*** include, as appropriate, information on national, subregional and/or regional capacity-building activities for integrating adaptation to climate change into medium and long-term planning.

33. ~~42.~~ ***Non-Annex I*** Parties ~~should~~ ***may*** include, as appropriate, information on how support programmes from Parties included in Annex II to the Convention are meeting their specific needs and concerns relating to vulnerability and adaptation to climate change.

~~VI.~~ B. Programmes containing measures to mitigate climate change

~~43. Each Party shall, in accordance with Article 4, paragraph 1 (b) and (j) and paragraph 7, and Article 12, paragraphs 1 (b) and (c), of the Convention, provide to the COP information on the general description of steps taken or envisaged for formulating, implementing, publishing and regularly updating national and, where appropriate, regional programmes containing measures to mitigate climate change by addressing anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, and any other information they consider to be relevant to the achievement of the objective of the Convention and suitable for inclusion in their communications.~~

~~A.~~ *Methodological approach*

34. ~~44.~~ Based on national circumstances, ***non-Annex I*** Parties are encouraged to use whatever methods are available and appropriate in order to formulate and prioritize programmes containing measures to mitigate climate change; this should be done within the framework of sustainable development objectives, which should include social, economic and environmental factors.

35. ~~45.~~ In their assessment of these programmes on various sectors of the economy ~~such as energy, transport, industrial processes, forestry, agriculture and waste~~, ***non-Annex I*** Parties may find the following technical resources helpful: ***Technologies, Policies and Measures for Mitigating Climate Change (IPCC Technical Paper I); Greenhouse Gas Mitigation Assessment: A Guidebook by the U.S. Country Studies Program; Climate Change 2001: Mitigation (Contribution of Working Group III to the Third Assessment Report of the IPCC).***

~~B.~~ *Reporting*

36. ~~46.~~ Based on national circumstances, ***non-Annex I*** Parties are encouraged to provide, to the extent their capacities allow, information on programmes containing measures which they believe contribute to mitigating climate change by addressing anthropogenic emissions by sources and removals by sinks of all GHGs not controlled by the Montreal Protocol, including, as appropriate, information by sectors on methodologies, scenarios, results, measures and institutional arrangements.

37. ~~47.~~ ***Non-Annex I*** Parties are encouraged to include, to the extent their capacities allow, a list of proposed projects for financing, in accordance with Article 12, paragraphs 4 and 7, of the Convention.

~~[6] Decision 28/CP.7 indicates that information contained in national adaptation programmes of action may constitute the first step in the preparation of initial national communications.~~

~~VII. DEVELOPMENT AND TRANSFER OF TECHNOLOGIES~~

V. OTHER INFORMATION CONSIDERED RELEVANT TO THE ACHIEVEMENT OF THE OBJECTIVE OF THE CONVENTION

38. Each non-Annex I Party shall, in accordance with Article 12, paragraph 1, subparagraph (c), communicate to the Conference of the Parties any other information that the Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its communication, including, if feasible, material relevant for calculation of global emission trends, taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances.

39. Non-Annex I Parties may provide information on development and transfer of technologies; research and systematic observation; education, training and public awareness; capacity building; and information and networking, following the provisions in these guidelines.

40. Taking into account Article 4, paragraph 7 and, as appropriate, Article 4, paragraphs 3 and 5, of the Convention, the communication of this information is dependent on the effective implementation by developed country Parties of their commitments under the Convention related to financial resources and transfer of technology.

A. Development and transfer of technologies

41. ~~48.~~ Pursuant to decision 4/CP.7, its annex, and the implementation of Article 4, paragraph 5, of the Convention, non-Annex I Parties Parties are encouraged, in the light of their social and economic conditions, to provide information on*: **results of country-specific technology needs; transfer of, and access to, environmentally sound technologies and know-how and the development and enhancement of endogenous capacities, technologies and know-how; assistance received from developed country Parties and the financial mechanism of the Convention and, as appropriate, its utilization, in support of the development and enhancement of endogenous capacities, technologies and know-how, and in the implementation of programmes and measures identified in the technology needs assessment.***

~~(a) Country-specific technology needs;~~

~~(b) Transfer of, and access to, environmentally sound technologies and know-how and the development and enhancement of endogenous capacities, technologies and know-how;~~

~~(c) Assistance received from developed country Parties and the financial mechanism of the Convention and, as appropriate, its utilization, in support of the development and enhancement of endogenous capacities, technologies and know-how, and in the implementation of programmes and measures identified in the technology needs assessment.~~

~~VIII.~~ B. Research and systematic observation

42. ~~49.~~ ***Non-Annex I*** Parties ~~should~~ ***are encouraged to*** provide information on climate change research and systematic observation, including their participation in and contribution to activities and programmes, as appropriate, of national, regional and global research networks and observing systems.

~~50. Parties are encouraged to provide, as appropriate, information on their national programmes for meteorological, hydrological and climatic observations, including programmes for monitoring GHG concentrations, sea levels, desertification, ecosystem quality, and other indicators of climate change.~~

~~Research~~

~~51. Parties should include information on scientific research relating specifically to the assessment of impacts of, and adaptation to, climate change, including, as appropriate, modelling and prediction, as well as effects of the El Niño Southern Oscillation (ENSO) phenomenon on climate variability and extreme weather events.~~

43. ~~52.~~ ***Non-Annex I*** Parties are encouraged to provide information on research relating to programmes containing measures to mitigate climate change, ~~to~~ programmes containing measures to facilitate adequate adaptation to climate change, and to the development of emission factors and activity data.

~~Systematic observation~~

44. ~~53.~~ ***Non-Annex I*** Parties ~~should~~ ***are encouraged to*** provide, to the extent that their capacities allow, information on their participation in national, regional and global observing systems (such as the Global Climate Observing System, Global Terrestrial Observing System and Global Ocean Observing System).

~~54. Parties are encouraged to use the UNFCCC reporting guidelines on global climate change observing systems.[7]~~

~~IX.~~ C. Education, training and public awareness

45. ~~55.~~ ***Non-Annex I*** Parties ~~should~~ ***may*** provide, to the extent possible, and as appropriate, ~~the following~~ information on activities relating to climate change education, training and public awareness at national and/or, where appropriate, subregional and regional levels. In providing this information, Parties are encouraged to consider:

~~(a)~~ Institutions and/or programmes, expertise and resources, including information centres, for climate change education, training and public awareness;

~~(b)~~ Scholarship and/or fellowship programmes for climate change;

~~(c)~~ Incorporation of climate change issues into non-formal education and into the curricula of different levels of formal education systems;

~~(d)~~ Focus and scope of education, training and public awareness programmes on climate change.

~~XI.~~ D. Capacity-building

46. ~~57.~~ ***Non-Annex I*** Parties ***may*** ~~should~~ provide, in accordance with decision 2/CP.7, information on how capacity-building activities, as contained in the framework annexed to that decision, are being implemented at national and, where appropriate, at subregional and/or regional levels. This could include, inter alia, options and priorities for capacity-building, participation in and promotion of South-South cooperation, the involvement of stakeholders in capacity-building, coordination and sustainability of capacity-building activities, and the dissemination and sharing of information on capacity-building activities.[8]

~~[7] FCCC/CP/1999/7.~~

~~[8] In accordance with the annex to decision 2/CP.7, the initial scope of needs and areas for capacity-building covers: institutional capacity-building, including the strengthening or establishing, as appropriate, of national climate change secretariats or national focal points; enhancement and/or creation of an enabling environment;~~

47. ~~58.~~ ***Non-Annex I*** Parties are encouraged to provide information on relevant needs and/or areas for capacity-building other than those mentioned in paragraph ~~57~~ ***46*** above.

~~59. Parties should provide information on their capacity-building needs relating to research and systematic observation, and on how these needs are being met and supported by bilateral and multilateral activities and programmes.~~

~~X.~~ E. Information and networking

48. ~~56.~~ ***Non-Annex I*** Parties ~~should~~ ***are encouraged to*** provide information on their efforts to promote information sharing ~~among~~ ***between*** and within countries and regions. Information could include the following, as appropriate: ***participation in and contribution to networks and access to, and use of, information technologies for information exchange.***

~~(d) Participation in and contribution to networks providing information, data, tools and expertise necessary for the preparation of national communications and implementation of programmes and activities identified in the national communications;~~

~~(e) Access to, and use of, information technologies for information exchange;~~

~~(f) Availability of resources and training;~~

~~(g) A list of national experts, including details of their expertise, who have participated in the preparation of national communications.~~

~~XII.~~ *VI.* CONSTRAINTS AND GAPS, AND RELATED FINANCIAL, TECHNICAL AND CAPACITY NEEDS

49. ~~60.~~ ***Non-Annex I*** Parties should, in accordance with national circumstances and development priorities, describe any constraints and gaps, and related financial, technical and capacity needs, as well as proposed and/or implemented activities for overcoming the gaps and constraints associated with the implementation of activities, measures and programmes envisaged under the Convention, and with the preparation and improvement of national communications on a continuous basis. ~~, in the areas of:~~

~~(a) National GHG inventories, such as lack of national capacities for undertaking national GHG inventories on a continuous basis, or existing methodological and data gaps;~~

~~(b) Vulnerability and adaptation assessments, such as data constraints, limitations of the methodologies, models or scenarios;~~

~~(c) Programmes containing measures to facilitate adequate adaptation to climate change, such as the identification, development, evaluation and implementation of adaptation measures;~~

~~(d) Programmes containing measures to mitigate climate change;~~

~~national communications; national climate change programmes; GHG inventories, emissions database management and systems for collecting, managing and utilizing emission factors and activity data; vulnerability and adaptation assessment, implementation of adaptation measures; assessment of mitigation options; research and systematic observation, including meteorological, hydrological and climatological services; development and transfer of technology, improved decision-making, including assistance for participation in international negotiations; clean development mechanism; implementation of Article 4, paragraphs 8 and 9, of the Convention; education, training and public awareness; and information and networking, including the setting up of databases.~~

~~(e) Development and transfer of technologies, such as difficulties encountered in technology needs assessments and technology information, barriers to technology transfer and implementation, or development and enhancement of endogenous capacities and technologies;~~

~~(f) Research and systematic observation, such as data constraints or a lack of equipment;~~

~~(g) Education, training and public awareness;~~

~~(h) Information and networking, such as opportunities for, and barriers to, free and open exchange of data and information;~~

~~(i) Capacity building.~~

50. ~~61.~~ ***Non-Annex I*** Parties should provide information on ***all*** financial resources and technical support ~~provided by the GEF, and where possible from other sources, including the Parties themselves, for other climate change related activities.~~for the preparation of their national communications provided by themselves, as well as those received from the Global Environment Facility (GEF), Annex II Parties or bilateral and multilateral institutions.

~~XIII.~~ *VII.* SUBMISSION

51. ~~63.~~ The information provided in accordance with these guidelines shall be communicated by each n***on-Annex I*** Party to the COP in a single document, with an executive summary outlining the information contained in the full document, in both hard copy and electronic format.

52. ~~64.~~ Each n***on-Annex I*** Party shall submit its national communication in one of the official languages of the United Nations. The executive summary, which is to be of no more than 10 pages, shall be translated into English and ~~distributed widely~~ ***made publicly available*** . Parties are also encouraged to submit, to the extent possible and where relevant, English translations of their communications.

53. ~~65.~~ Additional or supporting information may be supplied through other documents such as a technical annex.

Table 1. National greenhouse gas inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol[a] and greenhouse gas precursors

GREENHOUSE GAS SOURCE AND SINK CATEGORIES	CO_2 emissions (Gg)	CO_2 removals (Gg)	CH_4 (Gg)	N_2O (Gg)	CO[b] (Gg)	NO_x[b] (Gg)	NMVOCs[b] (Gg)	SO_2[b] (Gg)
Total national emissions and removals	X	X	X	X	X	X	X	X
1. Energy	X	X	X	X	X	X	X	X
A. Fuel combustion (sectoral approach)	X		X	X	X	X	X	X
1. Energy industries	X		X	X	X	X	X	X
2. Manufacturing industries and construction	X		X	X	X	X	X	X
3. Transport	X		X	X	X	X	X	X
4. Other sectors	X		X	X	X	X	X	X
5. Other (please specify)	X		X	X	X	X	X	X
B. Fugitive emissions from fuels	X		X		X	X	X	X
1. Solid fuels			X		X	X	X	X
2. Oil and natural gas			X		X	X	X	X
2. Industrial processes	X	X	X	X	X	X	X	X
A. Mineral products	X				X	X	X	X
B. Chemical industry	X		X	X	X	X	X	X
C. Metal production	X		X	X	X	X	X	X
D. Other production	X				X	X	X	X
E. Production of halocarbons and sulphur hexafluoride								
F. Consumption of halocarbons and sulphur hexafluoride								
G. Other (please specify)	X		X	X	X	X	X	X
3. Solvent and other product use	X			X			X	
4. Agriculture			X	X	X	X	X	X
A. Enteric fermentation			X					
B. Manure management			X	X			X	
C. Rice cultivation			X				X	
D. Agricultural soils			X	X			X	
E. Prescribed burning of savannahs			X	X	X	X	X	
F. Field burning of agricultural residues			X	X	X	X	X	
G. Other (please specify)			X	X	X	X	X	
5. Land-use change and forestry	X[c]	X[c]	X	X	X	X	X	X
A. Changes in forest and other woody biomass stocks	X[c]	X[c]						
B. Forest and grassland conversion	X	X	X	X	X	X		
C. Abandonment of managed lands		X						
D. CO_2 emissions and removals from soil	X[c]	X[c]						
E. Other (please specify)	X	X	X	X	X	X		
6. Waste			X	X	X	X	X	X
A. Solid waste disposal on land			X		X		X	
B. Waste-water handling			X	X	X	X	X	
C. Waste incineration					X	X	X	X
D. Other (please specify)			X	X	X	X	X	X
7. Other (please specify)	X	X	X	X	X	X	X	X
Memo items								
International bunkers	X		X	X	X	X	X	X
Aviation	X		X	X	X	X	X	X
Marine	X		X	X	X	X	X	X
CO_2 emissions from biomass	X							

Notes: Shaded cells do not require entries.

[a] ~~The following standard indicators may be used, as appropriate, for emissions by sources and removals by sinks of GHGs: NO (not occurring) for a gas or source/sink category which does not occur within a country, NE (not estimated) for existing emissions and removals which have not been estimated, NA (not applicable) for activities in a given source/sink category which do not result in emissions or removals of a specific gas, IE (included elsewhere) for emissions and removals estimated but included elsewhere in the inventory (Parties should indicate where the emissions or removals have been included), C (confidential) for emissions and removals which could lead to the disclosure of confidential information.~~ *Data to be presented by Parties, to the extent their capacities allow. The following standard indicators may be used, as appropriate, for emissions by sources and removals by sinks of GHGs: NO (not occurring) for a gas or source/sink category which does not occur within a country, NE (not estimated) for existing emissions and removals which have not been estimated, NA (not applicable) for activities in a given source/sink category which do not result in emissions or removals of a specific gas, IE (included elsewhere) for emissions and removals estimated but*

included elsewhere in the inventory; Parties should indicate where the emissions or removals have been included, C (confidential) for emissions and removals which could lead to the disclosure of confidential information.

[b] ~~Data on CO, NO_x, NMVOCs and SO_x to be provided to the extent possible (see paragraph 17 above).~~

[c] ~~Do not provide an estimate of both CO_2 emissions and CO_2 removals. "Net" emissions (emissions - removals) of CO_2 should be estimated and a single number placed in either the CO_2 emissions or CO_2 removals column, as appropriate. Note that for the purposes of reporting, the signs for removals are always (-) and for emissions (+).~~ *Estimate "net" emissions of CO2 and place a single number in either the CO2 emissions or CO2 removals column, as appropriate. Please note that the sign for uptake/removals is always (-) and for emissions is (+).*

Note by the secretariat:

No changes have been proposed by the G77 and China for table 2 of the proposed guidelines. Therefore it is not included in the present document.

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NATIONAL COMMUNICATIONS FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION

WORK OF THE CONSULTATIVE GROUP OF EXPERTS ON NATIONAL COMMUNICATIONS FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION

Report of the workshop of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention

Note by the secretariat

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I. INTRODUCTION

A. Mandate

1. By its decision 31/CP.7, the Conference of the Parties (COP), at its seventh session, decided that the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) shall have the objective of improving the preparation of national communications from Parties not included in Annex I to the Convention (non-Annex I Parties). By the same decision (para. 3), the COP also decided that, in addition to its mandate contained in the annex to decision 8/CP.5, the CGE shall identify and assess technical problems and constraints that have affected the preparation of initial national communications from non-Annex I Parties that have yet to complete them, and make recommendations for consideration by the subsidiary bodies, and shall also provide input to the draft improved guidelines for the preparation of national communications from non-Annex I Parties.

2. By the same decision, the COP further decided that the CGE shall conduct two workshops in the year 2002, with the objective of sharing experiences to ensure adequate coverage of issues referred to in paragraph 3 of the decision.

B. Scope of the report

3. The report of the first workshop is contained in document FCCC/SBI/2002/INF.3. This is the report of the second workshop. The input of the CGE to the draft improved guidelines for the preparation of national communications from non-Annex I Parties is contained in document FCCC/SBI/2002/INF.8.

4. This document summarizes the proceedings of the workshop (section II) and the discussions on the problems and constraints relating to the preparation of national communications, particularly those that have affected non-Annex I Parties that have yet to complete them (section III). Section IV outlines the experiences of, and lessons learned by, multilateral and bilateral support programmes in facilitating and providing financial and technical support to non-Annex I Parties in the preparation of their initial national communications or elements thereof. Section V presents recommendations for improving the process of the preparation of the various elements of national communications from non-Annex I Parties.

C. Possible action by the subsidiary bodies

5. The subsidiary bodies may wish to take note of this report, and recommend a draft decision on further guidance to the CGE, including its new mandate and terms of reference, for adoption by the COP at its eighth session.

II. PROCEEDINGS

6. Following the offer of the Government of the Bahamas to host the CGE workshop, this workshop was held in Nassau from 8 to 10 August 2002. A total of 38 experts representing 27 countries (10 from Africa, four from Asia and the Pacific, seven from Latin America and the Caribbean, and six from Annex I Parties) and 13 bilateral and multilateral organizations participated.[1]

7. The workshop was chaired by Ms. Isabelle Niang-Diop (Senegal), in her capacity as the current Chair of the CGE. In welcoming the experts to the workshop, she recalled that the CGE had made

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[1] The lists of participants and of multilateral and bilateral organizations are posted on the UNFCCC web site (http://unfccc.int/sessions/workshop/080802/index.html).

considerable progress in the discharge of its work aimed at improving the process of the preparation of national communications, pursuant to decisions 8/CP.5 and 31/CP.7. She also acknowledged the excellent support provided by the secretariat to the CGE to conduct its work in an expeditious manner.

8. Ms. Niang-Diop noted that at the first CGE workshop, held in Bonn, Germany, from 10 to 12 April 2002, technical problems and constraints of seven non-Annex I Parties[2] who had not yet submitted their initial national communications had been identified.

9. The second workshop heard presentations by 10 non-Annex I Parties that have yet to complete their initial national communications, namely: Bangladesh, Cambodia, Central African Republic, Dominican Republic, Gabon, Gambia, Kenya, Nigeria, Uganda and the United Republic of Tanzania. The presentations covered technical problems and constraints relating to the preparation of the various elements of the initial national communication: national greenhouse gas (GHG) inventories; vulnerability and adaptation assessments; GHG mitigation analysis; research and systematic observation; and the cross-cutting issues of education, training and public awareness. Problems relating to the institutional arrangements for the preparation of national communications were also covered. Discussions following the presentations focused on providing some conclusions as to how such problems and constraints could be overcome.

10. In response to a proposal by the CGE at its fourth meeting (FCCC/SBI/2002/2) to elaborate further its work relating to the review of existing activities and programmes which facilitated and supported the preparation of national communications, five bilateral and eight multilateral agencies presented and exchanged experiences on the support they facilitated and provided to non-Annex I Parties in the preparation of their initial national communications.

11. The presentations were followed by general discussions, on the types and level of assistance provided and the experiences gained and lessons learned that may help enhance the process of preparation of national communications in non-Annex I Parties.

12. The conclusions and recommendations from the presentations and the ensuing discussions provided an input to the report of the CGE to the subsidiary bodies (FCCC/SBI/2002/15).

III. PROBLEMS AND CONSTRAINTS OF NON-ANNEX I PARTIES THAT HAVE YET TO SUBMIT THEIR INITIAL NATIONAL COMMUNICATIONS

13. The presentations at the workshop by those countries that have yet to complete their initial national communications indicated that the main problems and constraints were related to the lack of expertise and appropriate data sets to enable timely preparation of national GHG inventories, vulnerability and adaptation assessments and GHG mitigation analysis, and an incapacity to conduct and promote research and systematic observation, climate change education, training and public awareness, and information exchange and networking. These problems and constraints were exacerbated by the general lack of human, financial and technical resources in these countries.

A. Institutional arrangements

14. Many Parties indicated that they generally had limited experience/expertise, technical capacity and financial resources for the preparation of their initial national communications. Some Parties reported that they had lost expertise and/or skills due to long periods of inactivity pertaining to the preparation of initial national communication, which were caused by long delays in the disbursement of financial resources and provision of technical support. In addition, some Parties mentioned that there

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[2] Albania, Brazil, Fiji, Islamic Republic of Iran, Papua New Guinea, Paraguay and South Africa.

was a high turnover of staff, which also often made it difficult to complete assigned tasks and activities relating to the preparation of national communication.

15. One of the main difficulties identified by some of these Parties was a general lack of clarity over the roles and responsibilities of their national institutions and of the Global Environment Facility (GEF) and its implementing agencies relating to the preparation of national communications.

16. Many Parties identified a low level of inter-ministerial and/or inter-agency coordination as a major constraint in the preparation of national communications. In some of these countries there are no units responsible for climate change work in the ministries or technical institutions.

17. Other difficulties mentioned, in particular by the small island developing States and least developed countries, were the lack of existing national research/training institutions and the limited participation in and insufficient understanding of climate change issues and activities. Such deficiencies contributed to the general lack of capacity available to develop national climate change policies or strategies in these countries.

18. Some Parties reported that their progress in the preparation of their initial national communications was affected by difficulties in obtaining data from a wide range of public and private sector organizations.

19. One Party reported that it had experienced long delays in completing its initial national communication, because of social unrest and/or political problems.

B. National greenhouse gas inventories

20. Methodological and technical problems were encountered in completing the national GHG inventories. These problems were related to the fact that the use of the Intergovernmental Panel on Climate Change (IPCC) default values, particularly in agriculture, land-use change and forestry (LUCF), energy and waste sectors, did not always reflect national circumstances (e.g. variations in soils and topography), and lack of and/or limited number of experts available in the country made it difficult to carry out the inventory work.

21. Additionally, inventory work in some of these countries was constrained by the lack of readily available activity data, particularly for the LUCF and agriculture sectors. This led to large inconsistencies and uncertainties in their inventories. Some Parties found that data were available for some sectors, but not always in a format that could be easily used in the inventory estimations.

22. Other Parties mentioned the often high cost of acquiring and processing satellite imagery data relevant for estimation of emissions and/or removals in the LUCF sector.

C. Vulnerability and adaptation assessments

23. Vulnerability and adaptation assessments in many countries were constrained by difficulties encountered in the use of the IPCC Technical Guidelines on Assessment of Impacts and Adaptations to Climate Change. These difficulties were attributed by many of those Parties to their limited local capacity/expertise available to apply and use the IPCC Guidelines and the integrated assessment models, and to use regional models/scenarios for climate change appropriately. In addition, some Parties indicated that the currently large differences inherent in the outputs of various global circulation models (GCM) meant that there was low confidence in the results of analyses based on these outputs.

24. One Party stressed that it had experienced considerable difficulties in conducting detailed studies in various sectors because it lacked new and user-friendly technology (software) and reliable data.

D. GHG mitigation analysis

25. Some Parties reported lack of data, and lack of expertise/skills in applying and using climate change mitigation models and those models/software available for construction of GHG emission scenarios in all sectors. Some Parties mentioned that the absence of common guidelines for assessing and reporting potential mitigation options greatly affected the preparation of GHG mitigation analysis.

26. Some Parties indicated that many of the difficulties they encountered in implementing proposed potential mitigation options were due to low awareness about such options among their policy makers.

E. Research and systematic observation

27. Many Parties mentioned that the preparation of their initial national communication or the elements thereof was affected by their limited technical capacity and research activities and/or capabilities to collect, access, analyse and manage data, which was further hampered by the lack of monitoring equipment/tools, insufficient observational data, lack of trained/skilled personnel and large gaps in climate data and databases. Some Parties mentioned that it was important for local/regional universities and research institutions to conduct and participate in climate change/environmental research activities, and that in some cases such research institutions do not exist. Many Parties also expressed their concerns about the deteriorating state of their observation networks, which could threaten climate monitoring and detection.

F. Education, training and public awareness

28. Many Parties considered the promotion of climate change education, training and public awareness as critical. However, many stated that lack of resources prevented them from undertaking these activities effectively. Others pointed out that climate change issues were not well covered by the local/national media, which contributed to a general lack of awareness of climate change issues among policy stakeholders and the general public.

29. Some Parties reported that their attempts to incorporate climate change issues into the school curriculum were constrained by the limited human, financial and technical resources.

G. Information and networking

30. Some Parties indicated that national climate change expert teams and institutions often lacked financial resources and suitable infrastructure to enable them to have access to and use of the Internet and therefore they were not able to exchange information with relevant regional and international institutions on issues pertaining to the preparation of their initial national communications.

H. Availability of human, financial and technical resources

31. Some countries stated that they were constrained by the low capacity of the members of the national climate change committees and the limited number of relevant sectoral experts/specialists, which undermined the collection of relevant data necessary for the completion of GHG inventories, vulnerability and adaptation assessments and GHG mitigation analysis.

32. Many Parties indicated that financial resources were urgently required to translate and disseminate relevant technical material that was often published only in English. The absence of information in local and/or national languages was identified as a serious barrier to capacity-building in many non-Annex I Parties.

33. Many of these Parties also recognized that not all countries would need the same level of external support required for climate change activities/initiatives, because the national circumstances between countries varied considerably.

IV. SUPPORT PROGRAMMES

34. A total of 13 presentations were made by five bilateral and eight multilateral support programmes on their experiences in facilitating and providing financial and technical support to non-Annex I Parties in the preparation of their initial national communications or elements thereof. The presentations covered the kinds and level of assistance provided, criteria used to facilitate or support activities and programmes and the lessons learned which may help and enhance the coordination and institutional arrangements for the preparation of national communications. The bilateral support programmes were: Danish International Development Agency; the Netherlands Climate Change Studies Assistance Programme; New Zealand Ministry of Environment; United States Agency for International Development; and the United States Country Studies Program. The multilateral support programmes were: the GEF, Inter-American Institute for Global Change Research, IPCC Task Force on Greenhouse Gas Inventories, the United Nations Development Programme – National Communication Support Unit, the United Nations Environment Programme, the United Nations Environment Programme Collaborating Centre for Energy and Environment, the United Nations International Strategy for Disaster Reduction, and the World Bank.

35. Many of the technical problems and constraints that the support programmes had recognized were similar to those identified by non-Annex I Parties themselves. They related to lack of appropriate institutional arrangements and of capacity/expertise and data.

36. In recognition of these technical problems and constraints in non-Annex I Parties, some of the bilateral and multilateral programmes have either put in place or planned to put in place activities and programmes that will contribute to capacity-building (institutional and human) and training.

A. Institutional arrangements

37. Based on their experiences and the lessons learned in project implementation in non-Annex I Parties, the bilateral and multilateral programmes have identified a number of key institutional issues, which may help enhance the institutional arrangements for project implementation in non-Annex I Parties, including those that are necessary for the preparation of national communications:

(a) Greater involvement and participation by key policy stakeholders should be encouraged from the beginning of the project cycle and/or at the project concept level;

(b) Political support and buy-in to the project and the enhancement of appropriate institutional frameworks for the preparation of national communications need to be strengthened;

(c) Engagement of in-country personnel in project activities and promotion of country ownership of project is essential;

(d) Provision of financial and technical support and integration of project activities and outputs with national policies and strategies are required;

(e) Building and maintaining the capacity of national and/or regional expertise to collect, process and analyse data for use in the preparation of national communications and in planning for sustainable development should be strengthened;

(f) Studies undertaken in the context of the preparation of national communications should be focused on national priorities.

B. Capacity-building and training

38. In-depth and long-term technical training on various elements of the national communication (e.g. national GHG inventories, vulnerability and adaptation assessments, and GHG mitigation analysis) is vital in developing a pool of experts in non-Annex I Parties.

V. RECOMMENDATIONS

39. The experts at the workshop recommended a number of specific actions that would enhance the process of preparation of national communications by non-Annex I Parties by strengthening institutional arrangements, capacity-building and training, and coordination of activities and programmes relating to the preparation of national communications.

A. Institutional arrangements

40. Stakeholders, including policy makers, national and/or regional universities, institutions of higher learning and research and regional organizations, should be continually engaged and involved in preparing national communications.

41. National institutions responsible for climate change issues should be strengthened or, if they do not already exist, established.

42. Use of regional institutions and/or experts, where appropriate, should be encouraged in project activities relating to the preparation of national communications.

43. Roles and responsibilities, including services to be provided by the GEF and its implementing agencies, during the project implementation, should be detailed in the project document.

44. Formal mid-term evaluation of project activities should be done on a regular basis, so as to identify and deal with emerging/potential problems and constraints.

45. Synergies between climate change and other environmental activities/programmes should be promoted. For example, Parties are encouraged to participate in activities relating to the national platforms for disaster reduction and initiatives on global change research.

46. South–South cooperation on climate change issues should be promoted.

B. Capacity-building and training

47. Regional, subregional and national training workshops should be supported and conducted on a continuing basis to help strengthen and/or build national capacities, mainly in the areas of GHG inventories for agriculture and LUCF, methodologies for vulnerability and adaptation assessments and the applications of models for GHG mitigation analysis.

48. Lessons learned from regional projects, such as the Caribbean Planning for Adaptation to Climate Change (CPACC) and the Pacific Islands Climate Change Assistance Programme (PICCAP), should be encouraged and replicated in other regions, where appropriate.

49. Publication of research results emanating from project activities relating to the preparation of national communications should be encouraged and rewarded.

50. Greater efforts should be made to sensitize key stakeholders, including policy makers, on climate change issues, on a regular basis.

51. The IPCC material should be translated and disseminated widely within the countries.

52. Training should be provided to Parties in the use of the IPCC Good Practice Guidance and Uncertainty Management for National Greenhouse Gas Inventories.

53. Parties should be made aware of and provide input to the database being prepared by the IPCC on emission factors.

54. The IPCC should give more attention to guidelines on vulnerability and adaptation issues, and should be encouraged to provide training on the understanding and use of these guidelines.

C. Coordination

55. Links between national institutions and the GEF and its implementing agencies should be strengthened. In addition, a permanent dialogue between national enabling activities and other projects funded by the GEF should be encouraged.

56. Information sharing and networking should be encouraged and promoted within and between countries and regions by using existing regional and global channels, such as the CGE.

57. Programmes and activities funded and supported by bilateral and multilateral donor agencies should be better coordinated and should ensure equitable provision of assistance to non-Annex I Parties in the preparation of their national communications.

58. An information sharing mechanism should be developed and hosted by a relevant agency/institution, such as the UNFCCC secretariat, to provide information on assistance programmes that support the preparation of national communications or any of their elements.

D. Financial and technical support

59. The level of financial resources for the preparation of national communications should be commensurate with the needs of the reporting obligations under the UNFCCC.

60. Parties should, in accordance with decision 10/CP.2, request funding from the GEF, as an operating entity of the financial mechanism, for regional projects on the development of emission factors and collection of activity data. They should also request funds for the preparation of second national communications, in accordance with decision 8/CP.5.

61. Parties should prioritize the areas for which financial assistance is most needed and therefore future GEF guidance for expedited procedures should not be prescriptive.

62. Financial and technical assistance should be provided for project management in addition to project implementation.

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Item 4 (d) of the provisional agenda

NATIONAL COMMUNICATIONS FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION

PROVISION OF FINANCIAL AND TECHNICAL SUPPORT

Activities of the secretariat to facilitate the provision of financial and technical support for the preparation of national communications from Parties not included in Annex I to the Convention and information on those communications

Note by the secretariat

I. INTRODUCTION

A. Mandate

1. The activities of the secretariat to facilitate the provision of financial and technical support to Parties not included in Annex I to the Convention (non-Annex I Parties) for the preparation of national communications are mandated by Article 8, paragraph 2 (c), of the Convention and various decisions by the Conference of the Parties (COP).[1]

2. Decision 10/CP.2, in particular, requests the secretariat "to facilitate assistance to Parties, particularly developing country Parties, in the preparation of their initial communications, through the organization of workshops at the regional level; to provide a forum for the exchange of experiences in the development of emission factors and activity data for the estimation of the inventory, as well as, on request, for other elements of information in the initial communication; and to provide a report to the Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice at each of their sessions."

[1] See decisions 10/CP.2, 12/CP.4, 8/CP.5, 30/CP.7, 31/CP.7 and 32/CP.7. The full texts of these decisions adopted by the Conference of the Parties at its second, fourth, fifth and seventh sessions are contained in documents FCCC/CP/1996/15/Add.1, FCCC/CP/1998/16/Add.1, FCCC/CP/1999/6/Add.1 and FCCC/CP/2001/13/Add.4, respectively.

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B. Scope

3. This document reports on the activities undertaken by the secretariat since its last report submitted to the fifteenth sessions of the subsidiary bodies (FCCC/SBI/2001/INF.8). Section II describes the activities of the secretariat to facilitate the provision of financial and technical support to non-Annex I Parties in the preparation of national communications. These activities include support to the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE), participation in meetings and workshops other than those of the CGE, preparing the fourth compilation and synthesis of initial national communications from non-Annex I Parties, drafting revised guidelines for the preparation of national communications from non-Annex I Parties, and support to the National Communications Support Programme and other activities of the Global Environment Facility (GEF). Section III provides an overview of the status of preparation of national communications by non-Annex I Parties.

II. ACTIVITIES OF THE SECRETARIAT

A. Support to the Consultative Group of Experts

4. The COP, by its decision 8/CP.5, established the CGE with the objective of improving the national communications of non-Annex I Parties. The UNFCCC secretariat has continued to facilitate the work of the CGE in discharging its mandate.

5. The COP, by its decision 31/CP.7, extended the term of the CGE until its eighth session and also provided the CGE with two additional mandates: to identify and assess technical problems and constraints that have affected the preparation of initial national communications by those non-Annex I Parties that have yet to complete them, and to make recommendations for consideration by the subsidiary bodies; and to provide input to the draft improved guidelines for the preparation of national communications of non-Annex I Parties.

6. Decision 31/CP.7 also mandated the CGE to conduct two workshops in 2002 with the objective of sharing experience in order to ensure adequate coverage of the matters described above. The first workshop took place in Bonn, Germany, from 10 to 12 April 2002. The report of the workshop, contained in document FCCC/SBI/2002/INF.3, was submitted for consideration by the Subsidiary Body for Implementation (SBI) at its sixteenth session. The second workshop took place in Nassau, Bahamas, from 8 to 10 August 2002. The report of this workshop is contained in document FCCC/SBI/2002/INF.10, and will be considered at SBI 17.

7. The fifth meeting of the CGE took place from 30 to 31 May 2002 in Bonn, Germany. An oral report on the meeting was presented by the CGE Chair at SBI 16. The SBI took note of the report and invited Parties to submit their views on a possible new mandate and terms of reference of the CGE. It also requested the secretariat to compile these submissions in a miscellaneous document for consideration by the SBI at its seventeenth session, with a view to a decision being adopted by the COP at its eighth session The views from Parties are contained in document FCCC/SBI/2002/MISC.6.

8. On the basis of the outputs of the two workshops as well as the fifth meeting of the CGE and recommendations contained in its report to the SBI at its fifteenth session (FCCC/SBI/2001/15), the CGE prepared its report for the consideration of the SBI at its seventeenth session (FCCC/SBI/2002/15).

9. The secretariat has supported the CGE in the fulfilment of its tasks as indicated in paragraphs 6 to 8 above by, inter alia, organizing all CGE meetings and workshops, preparing technical background documents, drafting CGE reports, and maintaining the electronic listserv that allowed CGE members to communicate efficiently.

B. Participation in meetings and workshops other than those of the CGE

10. Since the preparation of the report on the activities undertaken by the secretariat to facilitate assistance to Parties (FCCC/SBI/2001/INF.8), presented to the fifteenth sessions of the subsidiary bodies, the secretariat has participated in and made contributions to five meetings and workshops other than those of the CGE.

11. The first meeting was the workshop on best practices in policies and measures among Parties included in Annex I to the Convention (Annex I Parties). The workshop was held in Copenhagen, Denmark, from 8 to 10 October 2001, with the financial support of the Governments of Denmark and Norway. It was organized by the UNFCCC secretariat in close cooperation with the Danish Energy Agency and the Norwegian Ministry of the Environment. The report of the workshop is included in document FCCC/SBSTA/2001/INF.5.

12. The workshop addressed a number of topics that were also relevant for non-Annex I Parties, including cross-cutting issues in policy design and implementation, national programmes and evaluation of the effectiveness of policies and measures, policy instruments, measures relating to emissions from industry and end-use equipment, and measures relating to emissions from transport. The workshop also considered "best practices" in policies and measures in countries with economies in transition (EIT) and the issue of minimizing adverse effects on developing country Parties of policies undertaken by Annex I Parties. Presentations and discussions held at the workshop suggested that, although policies were broadly similar across countries, the details of implementation differed significantly due to different national circumstances.

13. The second meeting was the workshop on local perspectives on climate variability held in Apia, Samoa, from 3 to 6 December 2001. It was organized by the Macmillan Brown Centre for Pacific Studies of the University of Canterbury, New Zealand. The workshop brought together 45 people with backgrounds in climate change science in the Pacific Islands, disaster management, social science research on environment and development issues in the Pacific, and public policy.

14. A total of 28 presentations were made by the participants on a number of issues, including local/community, national and international responses to climate change and variability. The secretariat made two presentations, one on the UNFCCC perspectives on adaptation to climate change and a second one on the Intergovernmental Panel on Climate Change (IPCC) Third Assessment Report.

15. The third meeting was a workshop of the GEF-funded project "Assessment of Impacts and Adaptation to Climate Change in Multiple Regions and Sectors (AIACC)", which was held at the United Nations Environment Programme (UNEP) headquarters in Nairobi, Kenya, from 11 to 15 February 2002.

16. The main objectives of the meeting included the launching of the individual AIACC projects, discussing the objectives of AIACC and the individual projects, assisting project teams in project design, providing feedback on training courses and encouraging inter-project networks and sharing of skills.

17. More than 50 participants from Africa, Asia, and Latin America and the Caribbean participated in the meeting. The UNFCCC secretariat made a presentation on the links between the national communication process of the UNFCCC and AIACC. The presentation focused on ways in which the AIACC project could contribute to the national communication process.

18. The fourth meeting was the workshop on "Vulnerability and Adaptation to Climate Change", which was held in Casablanca, Morocco, from 23 to 24 April 2002. It was organized and hosted by the Department of Environment at the School of Public Works, Casablanca.

19. The main objectives of the workshop were to exchange experiences in conducting vulnerability and adaptation assessments across various sectors of the economy and to provide input to the preparation of a project proposal on vulnerability and adaptation for the Maghreb region.

20. More than 40 experts representing various Moroccan government agencies, universities and research institutes participated in this workshop. The secretariat made a presentation on problems relating to vulnerability and adaptation assessments in developing countries, decisions taken at the seventh session of the Conference of the Parties (the Marrakesh Accords) and funding opportunities.

21. The secretariat also participated in the International Conference on Climate Change and Disaster Preparedness, held in the Hague, the Netherlands, from 26 to 28 June 2002. The conference was co-sponsored by the International Federation of Red Cross and Red Crescent Societies, the Prevention Consortium and Disaster Management Facility of the World Bank, the Dialogue on Water and Climate and the International Strategy for Disaster Reduction, and was hosted by the Netherlands Red Cross. The conference brought together, probably for the first time, climate and climate change scientists, disaster managers, practitioners, policy makers and non-governmental organizations who are involved in disaster relief and management at the grass-roots level to discuss issues pertaining to the impacts, policy and practice of climate change and disaster preparedness.

22. The conference was opened with the launching of a World Disaster Report which concluded that there were many more people at risk than ever before and that the resources allocated to support millions of people at risk were low and diminishing. Many anecdotes and testimonies were presented at the conference in support of this conclusion. Another highlight of the conference was the official opening/launch of the Red Cross/Red Crescent Climate Centre which is to be hosted by the Netherlands Red Cross and will focus on, among other things, supporting the improvement of national societies' disaster preparedness to help them cope with the impacts of climate change, and matching scientific expertise in disaster preparedness and in climate change to enable rapid action to assist people at risk.

C. Fourth compilation and synthesis of initial national communications from Parties not included in Annex I to the Convention

23. By its decision 30/CP.7, the COP requested the secretariat to prepare the fourth compilation and synthesis of initial national communications from non-Annex I Parties, based on submissions received between 1 June 2001 and 1 June 2002, and to make that report available to the subsidiary bodies for consideration by the COP at its eighth session.

24. In the compilation and synthesis of the 31 new initial national communications submitted in the above-mentioned period (FCCC/SBI/2002/16), the secretariat reported on issues, constraints and problems encountered in using the UNFCCC guidelines for the preparation of initial national communications by non-Annex I Parties, and on other issues raised by these Parties. It also prepared an executive summary covering the information contained in all 83 initial national communications from non-Annex I Parties that had been submitted since the entry into force of the Convention (FCCC/SBI/2002/8).

D. Revision of the guidelines for the preparation of national communications from Parties not included in Annex I to the Convention

25. The COP, by its decision 32/CP.7, decided to continue the process of reviewing the guidelines for the preparation of national communications from non-Annex I Parties in accordance with decision 8/CP.5, with a view to improving these guidelines at its eighth session. The improvement of the guidelines shall take into account, inter alia, information contained in the third compilation and synthesis report (FCCC/SBI/2001/14) and information contained in national communications submitted as at 31 December 2001, as well as the recommendations of the CGE.

26. The draft guidelines for the preparation of national communications from non-Annex I Parties were prepared by the secretariat in accordance with decision 32/CP.7, and were presented as a Chairman's text for consideration by the SBI at its sixteenth session (annex I to FCCC/SBI/2002/INF.2). The SBI took note of the views expressed by Parties on the need to further consider the SBI Chairman's text and recalled decision 32/CP.7 requesting the submission of views from Parties on the proposed guidelines, with a view to improving them at COP 8. Decision 32/CP.7 also requested the secretariat to prepare an information document containing these views of Parties for consideration by the subsidiary bodies at their seventeenth sessions. The proposed improved guidelines are contained in document FCCC/SBI/2002/INF.8 and information on the views from Parties is contained in document FCCC/SBI/2002/INF.9.

E. Support to the National Communications Support Programme and other GEF activities

27. The UNFCCC secretariat provided support to the National Communications Support Programme (NCSP), including chairing its Advisory Committee. The NCSP was created as an initiative of the GEF, the United Nations Development Programme (UNDP) and UNEP to enhance the capacity of non-Annex I Parties. The NCSP promoted the quality, comprehensiveness and timeliness of initial national communications. In 2001 and 2002, the level of support to countries provided by the NCSP was limited to technical feedback on initial national communications, responses to hotline queries, and maintenance of an electronic listserv and web site.

28. The programme has now become the National Communications Support Unit (NCSU) at UNDP. The NCSU is a UNDP initiative devoted to providing technical support to countries with climate change enabling activities. As a result of this transition, the Advisory Committee of the NCSP has ceased to exist.

29. On request the secretariat has continued to provide comments and advice on relevant activities of the GEF and its implementing agencies (UNDP, UNEP, World Bank), including those carried out by the NCSU. The secretariat provided comments on all GEF enabling activity project proposals submitted for funding by non-Annex I Parties. The project activities included those which relate to the preparation of initial and second national communications as well as phase II enabling activities (so-called top-up projects). The project proposals are designed to strengthen national climate change teams to implement the Convention both at the national and at the regional levels. The secretariat also provided comments on various GEF regional or global project proposals, including those on capacity-building for improving the quality of GHG inventories, mainstreaming adaptation, capacity-building for observing systems, capacity-building for stage II adaptation, and assessments of impacts and adaptations.

III. STATUS OF PREPARATION OF NATIONAL COMMUNICATIONS

30. The information presented below is based on responses from non-Annex I Parties to a questionnaire distributed by the secretariat and on information provided by the GEF and its implementing agencies.

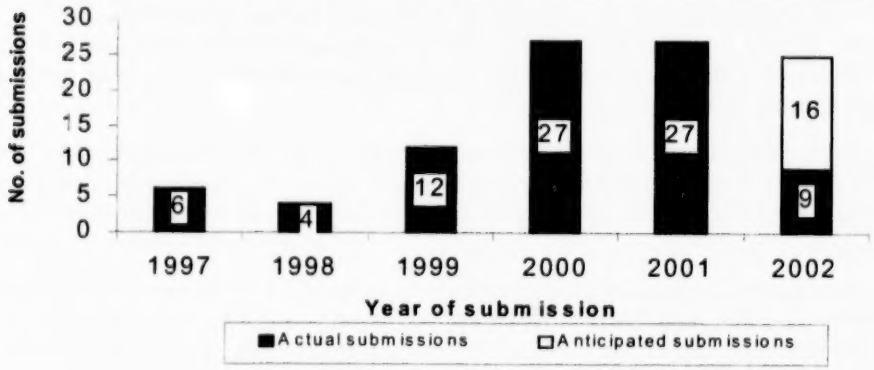
31. A summary of the status of preparation of national communications from non-Annex I Parties can be found in document FCCC/WEB/2002/9, posted on the secretariat web site (http://www.unfccc.int/program/nai/ncweb0209.pdf). The information is regularly updated and is made available to Parties in hard copy on request.

32. The secretariat also compiled a list of projects submitted by non-Annex I Parties in accordance with Article 12, paragraph 4, of the Convention (FCCC/WEB/2002/8) and posted it on its web site (http://unfccc.int/program/nai/ncweb0208.pdf). This information is also regularly updated and is made available to Parties in hard copy on request.

A. Initial national communications

33. As at 29 August 2002, 85 initial national communications have been submitted to the secretariat (in the following chronological order): Jordan, Argentina, Uruguay, Senegal, Micronesia, Mexico, Republic of Korea, Zimbabwe, Armenia, Kazakhstan, Mauritius, Egypt, Georgia, Uzbekistan, Indonesia, Cook Islands, Kiribati, Nauru, Samoa, Tuvalu, Vanuatu, Lebanon, Chile, El Salvador, Lesotho, Philippines, Azerbaijan, Singapore, Malaysia, Lao People's Democratic Republic, Sri Lanka, Turkmenistan, Bhutan, Cape Verde, Mali, Niger, Republic of Moldova, Thailand, Ecuador, Honduras, Seychelles, Bolivia, Costa Rica, Israel, Democratic Republic of the Congo, Grenada, Jamaica, Saint Vincent and the Grenadines, Marshall Islands, Côte d'Ivoire, Algeria, Ghana, Panama, Nicaragua, Peru, Antigua and Barbuda, Cuba, Niue, Ethiopia, Botswana, Tunisia, Chad, Yemen, Barbados, Congo, Mongolia, Morocco, Bahamas, Maldives, Burundi, Saint Kitts and Nevis, Saint Lucia, Trinidad and Tobago, Dominica, Colombia, Togo, Haiti, Guatemala, Papua New Guinea, Paraguay, Burkina Faso, Guyana, Swaziland, Djibouti and Mauritania (see figure for submissions developments).

Figure. Submissions of initial national communications from non-Annex I Parties by year



34. Nine non-Annex I Parties have submitted their initial national communications in 2002 and another 16 have indicated their intention to submit them by the end of 2002. This would bring the total number of submissions to 101 from a total of 146 non-Annex Parties (58 per cent).

35. The geographical spread of submissions is uneven. Whereas 85 per cent out Parties in the Latin America and Caribbean region have submitted their initial national communications, submissions from other regions are 54 per cent for Asia and the Pacific, 49 per cent for Africa and 40 per cent for Europe. Forty three per cent of the least developed country Parties have submitted their initial national communications.

36. Argentina, Micronesia and Uruguay have submitted addenda to their initial national communications. Argentina submitted an addendum covering inventory data for 1990, 1994 and 1997. Uruguay submitted two addenda covering inventory data for 1994 and 1998 as well as comparative studies of greenhouse gas (GHG) emissions for 1990, 1994 and 1998. Micronesia submitted an addendum which provides additional information on all elements of its national communication.

37. Currently, no information is available relating to the preparation of the initial national communications of Angola, Cyprus, Equatorial Guinea and San Marino. All other non-Annex I Parties that have not yet submitted their initial national communications are presently engaged in preparing them.

B. Enabling activities phase II (expedited financing for (interim) measures for capacity-building in priority areas)

38. Pursuant to decision 2/CP.4, the GEF provided funding for 53 projects (including a regional one with 10 participating countries) under its expedited procedure for the implementation of specific capacity-building activities by non-Annex I Parties within the framework of phase II enabling activities. The projects are designed to strengthen activities initiated during the preparation of their initial national communications and may lead to project proposals for the second national communications. The approved budget for each national project varies from US$ 48,000 to 118,000.

39. Sixty-two Parties are currently undertaking various national or regional projects in six areas: (i) the assessment of technology needs, identification of sources and suppliers of these technologies, and the determination of modalities for the acquisition and absorption of those technologies; (ii) the improvement of national activities for public awareness and education on climate change; (iii) effective participation in systematic observation networks; (iv) facilitation of national and/or regional access to the information provided by international centres and networks, and working with those centres for the dissemination of information, information services, and the transfer of environmentally sound technologies and know-how; (v) the design, formulation, management, implementation and evaluation of projects which would help Parties to fulfil their commitments under the Convention; and (vi) studies leading to the preparation of national programmes to address climate change, including the improvement of local emission factors.

40. Two Parties (Indonesia and Georgia) have already submitted their project reports to the secretariat. They are entitled "Identification of less greenhouse gases emission technologies in Indonesia" and "Capacity building to assess technology needs, modalities to acquire and absorb them, evaluate and host projects" (Georgia). Six Parties have submitted project proposals for funding of phase II enabling activities but have not yet received approval from the GEF.

C. Status of preparation of second national communications

41. Pursuant to decision 8/CP.5, all Parties that submitted their initial national communications before the adoption of the revised guidelines for national communications and wished to start the preparation of their second national communications before the seventh session of the COP, could do so using the initial guidelines. The decision further requests the GEF to provide funding for the preparation of the second national communications of those Parties following the guidance given to it in decisions 11/CP.2 and 2/CP.4. The COP at its seventh session confirmed in its decision 32/CP.7 that non-Annex I Parties wishing to start the preparation of their subsequent national communications may do so using the initial guidelines as set out in decisions 10/CP.2 and 2/CP.4, pending the adoption by the COP of improved guidelines for the preparation of national communications.

42. Uruguay received funds from the GEF for the preparation of its second national communication in the year 2000 and the GEF has recently approved Argentina's enabling activities project for the preparation of its second national communication. Costa Rica has submitted a project proposal to the GEF. Eight other Parties have expressed their intention to seek funds from the GEF for the commencement of work towards the preparation of their second national communications.

43. Mexico has already submitted its second national communication.

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NATIONAL COMMUNICATIONS FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION

PROVISION OF FINANCIAL AND TECHNICAL SUPPORT

Information on activities by the Global Environment Facility

Note by the secretariat

1. By its decision 10/CP.2, para. 1 (b), the Conference of the Parties requested the secretariat to make available to the Subsidiary Body for Implementation (SBI), at each of its sessions, details of the financial support made available by the Global Environment Facility (GEF), as an entity entrusted with the operation of the financial mechanism, to Parties not included in Annex I to the Convention (non-Annex I Parties) for the preparation of their initial communications. This information is to cover projects proposed by each Party, the funding decisions and the date and amount of funds made available to the Party (FCCC/CP/1996/15/Add.1).

2. The SBI, at its tenth session, asked the secretariat to request the GEF Secretariat to make available the dates of disbursement of funds for enabling activity projects for the preparation of initial national communication by non-Annex I Parties (FCCC/SBI/1999/8, para. 32 (b)). The attached table of information obtained from the GEF Secretariat* shows the dates of disbursement.

3. Parties may wish to note that according to the GEF Secretariat, projects described in the attached table are divided into those approved under the expedited procedures, and full projects approved under standard procedures. The remaining projects are those covering limited components of first national communications from non-Annex I Parties.

* The information attached to this note is reproduced as received without formal editing.

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Annex

GEF PROJECTS IN SUPPORT OF INITIAL NATIONAL COMMUNICATIONS

BY NON-ANNEX I PARTIES

As of June 30, 2002

COUNTRY*	IMPLEMENTING AGENCY	PROJECT TITLE	DATE OF COUNTRY ENDORSEMENT[2]	DATE OF GEF COUNCIL APPROVAL[2]	DATE OF PROJECT DOCUMENT SIGNATURE BY AGENCY[2]	DATE OF FIRST DISBURSEMENT [3]	AMOUNT OF GEF ALLOCATION (IN US$ MILLIONS)	COMMENTS
I. EXPEDITED PROCEDURES								
Albania	UNDP	Enabling Albania to prepare its First National Communication	5/15/96	7/30/96	4/6/98	12/96	0.38	First National Communication will be submitted in 2002
Algeria	UNDP	Enabling Algeria to prepare its First National Communication to the UNFCCC	8/8/96	1/22/98	2/11/98	6/1998	0.36	Initial National Communication submitted in April 2001.
Antigua and Barbuda	UNDP	Enabling Antigua and Barbuda to prepare its First National Communication in response to UNFCCC commitments	4/16/97	7/21/97	12/19/97	6/1998	0.26	Initial National Communication submitted in September 2001.

* asterisk indicates Least Developed Country status (Source: Human Development Report 1999, UNDP, website: http://www.undp.org/hdro/report.html), brackets indicate change to Annex I status

[2] Month/Day/Year (or Month/Year)

[3] Month/Year of financial statement report in which first disbursement is recorded. Actual disbursement would have occurred in fiscal quarter preceding the date

COUNTRY*	IMPLEMENTING AGENCY	PROJECT TITLE	DATE OF COUNTRY ENDORSEMENT[2]	DATE OF GEF COUNCIL APPROVAL[2]	DATE OF PROJECT DOCUMENT SIGNATURE BY AGENCY[2]	DATE OF FIRST DISBURSEMENT [3]	AMOUNT OF GEF ALLOCATION (IN US$ MILLIONS)	COMMENTS
I. EXPEDITED PROCEDURES								
Azerbaijan	UNDP	Enabling Azerbaijan to prepare its First National Communication to the UNFCCC	12/26/96	7/16/97	12/25/97	6/98	0.42	Initial National Communication submitted in May 2000
Bahamas	UNDP	Enabling The Bahamas to prepare its First National Communication to the UNFCCC	10/22/96	8/26/97	12/2/97	9/98	0.28	Initial National Communication submitted in November 2001
Bahrain	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	6/17/97	10/1/97	11/10/97	11/13/97	0.34	GHG Inventory and Mitigation reports completed
Bangladesh*	UNEP	Preparation of Initial National Communication in response to UNFCCC	1/11/99	3/15/99	8/9/99	1/5/00	0.18	Draft National Communication completed
Barbados	UNDP	Enabling Activity for the preparation of First National Communication	11/20/96	10/31/97	5/18/98	12/99	0.19	Initial National Communication submitted in 30 October 2001
Belize	UNDP	Enabling Belize to prepare its First National Communication to the UNFCCC	11/3/97	1/8/98	6/9/98	12/98	0.19	Phase I operationally completed. Request for additional funding submitted.

COUNTRY*	IMPLEMENTING AGENCY	PROJECT TITLE	DATE OF COUNTRY ENDORSEMENT[2]	DATE OF GEF COUNCIL APPROVAL[2]	DATE OF PROJECT DOCUMENT SIGNATURE BY AGENCY[2]	DATE OF FIRST DISBURSEMENT [3]	AMOUNT OF GEF ALLOCATION (IN US$ MILLIONS)	COMMENTS
I. EXPEDITED PROCEDURES								
Benin*	UNDP	Enabling Benin to Prepare the First National Communications in response to commitments to the UNFCCC	9/26/97	9/3/98	3/24/99	9/98	020	Initial National Communication being finalized for submission. Phase II activities underway.
Bolivia	UNDP	Enabling Bolivia to Prepare its First National Communication in response to commitments to the UNFCCC	6/24/98	7/7/98	9/1/98	12/98	0.29	Initial National Communication submitted in November 2000.
Burkina Faso*	UNDP	Enabling Burkina Faso to prepare its First National Communication to the UNFCCC	10/10/96	5/19/97	1/27/98	12/97	0.34	Initial National Communication submitted 16 May 2002
Burundi*	UNDP	Preparation of the First National Communication to the UNFCCC	8/27/98	9/18/98	1/19/99	9/99	0.45	Initial National Communication submitted in November 2001.
Cambodia*	UNDP	Enabling Activity for the preparation of First National Communication	11/12/96	3/24/97	8/24/98	9/98	0.34	Draft Initial National Communication completed.

COUNTRY*	IMPLEMENTING AGENCY	PROJECT TITLE	DATE OF COUNTRY ENDORSEMENT[2]	DATE OF GEF COUNCIL APPROVAL[2]	DATE OF PROJECT DOCUMENT SIGNATURE BY AGENCY[2]	DATE OF FIRST DISBURSEMENT [3]	AMOUNT OF GEF ALLOCATION (IN US$ MILLIONS)	COMMENTS
			I. EXPEDITED PROCEDURES					
Cameroon	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	12/26/96	7/16/97	8/29/97	5/98	0.27	Draft National Communication completed.
Cape Verde*	UNDP	Enabling Cape Verde to Prepare its first National Communication in Response to its Commitments to the UNFCCC	5/26/96	3/18/97	8/21/97	12/97	0.42	Initial National Communication submitted in November 2000.
Chad	UNDP	Enabling Chad to Prepare its first National Communication in Response to its Commitments to the UNFCCC	5/13/99	8/23/99	02/01/00		0.10	Initial National Communication submitted in October 2001.
Central African Republic*	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	7/17/97	8/26/97	11/20/97	8/98	0.35	Draft GHG Inventory and Mitigation Reports completed.
Chile	UNDP	Enabling Chile to fulfil its commitments to the UNFCCC	5/30/96	8/30/96	4/11/97	12/97	0.45	Initial National Communication submitted in February 2000.

COUNTRY*	IMPLEMENTING AGENCY	PROJECT TITLE	DATE OF COUNTRY ENDORSEMENT[2]	DATE OF GEF COUNCIL APPROVAL[2]	DATE OF PROJECT DOCUMENT SIGNATURE BY AGENCY[2]	DATE OF FIRST DISBURSEMENT [3]	AMOUNT OF GEF ALLOCATION (IN US$ MILLIONS)	COMMENTS
			I. EXPEDITED PROCEDURES					
Colombia	UNDP	Enabling Colombia to fulfill its commitments to the UNFCCC		6/24/99		6/01	0.35	Initial National Communication submitted in December 2001.
Comoros*	UNEP	Enabling Activities for the Preparation of Initial National Communication related to the UNFCCC	2/2/98	11/6/98	1/99	2/99	0.31	GHG Inventory and Mitigation Reports completed.
Congo	UNDP	Preparation of the First National Communication to the UNFCCC	12/16/97	9/18/98	2/15/99	12/2000	0.42	Initial National Communication submitted in October 2001.
Côte d'Ivoire	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	12/11/97	3/26/98	5/4/98	5/98	0.32	Initial National Communication submitted in February 2001.
Cuba	UNDP	Enabling Cuba to Prepare its initial National Communication to the UNFCCC	7/21/98	8/18/98	3/5/99	12/98	0.15	Initial National Communication submitted in September 2001.

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			I. EXPEDITED PROCEDURES					
Djibouti	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC		11/23/98		6/99	0.35	Initial National Communication submitted in June 2002
Dominica	UNDP	Enabling the Commonwealth of Dominica to prepare its First National Communication to the UNFCCC	10/30/97	1/6/98	2/12/98	12/98	0.17	Initial National Communication submitted December 2001
Dominican Republic	UNDP	Enabling Dominican Republic to prepare its First National Communication to the UNFCCC	2/9/99	3/29/99	5/4/99	9/1/99	0.35	Project under implementation.
Ecuador	UNDP	Enabling Ecuador to prepare its First National Communication to the UNFCCC	11/17/98	3/29/99	4/16/99	12/99	0.32	Initial National Communication submitted in November 2000.
El Salvador	UNDP	Enabling El Salvador to prepare its First National Communication to the UNFCCC	1/9/97	3/24/97	9/9/97	9/97	0.42	Initial National Communication submitted in April 2000.

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			I. EXPEDITED PROCEDURES					
Eritrea*	UNDP	Enabling Eritrea to prepare its first national communication	7/5/96	9/4/96	4/98	12/97	0.30	Project under implementation.
Ethiopia*	UNDP	Enabling Ethiopia to prepare its First National Communication to the UNFCCC	2/11/97	5/19/97	7/27/98	9/97	0.21	Initial National Communication submitted in October 2001.
Gabon	UNDP	Preparation of the First National Communication to the UNFCCC	1/21/98	9/10/98	3/4/99	12/98	0.32	Project under implementation.
Gambia, The*	UNDP	Enabling Gambia to prepare its first National Communication to the UNFCCC	11/12/96	3/24/97	11/17/97	6/97	0.14	Initial National Communication being finalized.
Georgia	UNDP	Enabling Georgia to fulfill its Commitments to the UNFCCC	5/24/96	9/4/96	1/20/97	6/97	0.43	National Communication submitted in August 1999.
Ghana	UNDP	Preparation of Initial National Communication for the Implementation of the UNFCCC	4/9/97	7/16/97	1/98	9/97	0.20	Initial National Communication submitted in May 2001.

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			I. EXPEDITED PROCEDURES					
Grenada	UNDP	Enabling Grenada to prepare its initial National Communication in Response to its commitments to the UNFCCC	7/21/98	8/26/98	12/11/98	6/99	0.18	Initial National Communication submitted in November 2000.
Guatemala	UNDP	Enabling Guatemala to Prepare Its First National Communication in Response to Its Commitments to the UNFCCC	11/18/96	3/24/97	1/13/98	6/98	0.42	Initial National Communications submitted December 2001.
Guinea*	UNDP	Enabling Guinea to prepare its First National Communication to the UNFCCC	2/7/97	5/19/97	2/9//98	6/98	0.45	Initial National Communication to be submitted 2nd Quarter 2002.
Guinea Bissau*	UNDP	Enabling Activity for the preparation of initial National Communication	2/97	6/5/97	—	9/99	0.35	On hold.
Guyana	UNDP	Enabling Activity for the preparation of initial National Communication	9/30/97	10/27/97	6/5/98	12/98	0.20	Initial National Communication submitted 16 May 2002

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I. EXPEDITED PROCEDURES								
Haiti*	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	11/25/97	1/26/98	4/24/98	12/00	0.35	Initial National Communication submitted in January 2002
Honduras	UNDP	Enabling Honduras to Prepare Its First National Communication in Response to Its Commitments to the UNFCCC	8/6/97	3/24/97	11/7/97	12/97	0.43	Initial National Communication submitted in November 2000.
Indonesia	UNDP	Enabling Activity for the preparation of initial National Communication	8/29/97	11/13/97	7/28/98	12/98	0.33	Initial National Communication submitted in October 30, 1999.
Iran	UNDP	Enabling Iran to prepare its First National Communication to the UNFCCC	2/11/97	6/24/97	9/97	12/98	0.45	Initial National Communication finalized for submission.
Jamaica	UNDP	Enabling Jamaica to prepare its First National Communication to the UNFCCC	11/3/97	1/9/98	3/9/98	01/99	0.23	Initial National Communication submitted in November 2000.

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			I. EXPEDITED PROCEDURES					
Jordan	UNDP	Vulnerability and Adaptation Study	—	12/15/97	Add on to main project	06/98	0.09	Initial National Communication submitted in March 1997.
Kenya	UNEP	Enabling Activities for the Preparation of initial National Communication Related to the UNFCCC	10/23/98	10/27/98	3/99	7/99	0.17	Project under implementation.
Korea, Democratic People's Republic of	UNDP	Enabling the DPRK to prepare its First National Communication to the UNFCCC	1/17/94	1/23/97	4/3/97	12/97	0.15	Project under implementation.
Kyrgyz Republic	UNDP	Enabling Kyrgyz Republic to prepare its First National Communication in response to the UNFCCC		8/7/00	12/19/00		0.33	Project under implementation.
Lesotho*	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	6/21/96	9/4/96	11/14/96	12/96	0.35	Initial National Communication submitted in April 2000.

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			I. EXPEDITED PROCEDURES					
Madagascar	UNDP	Enabling Madagascar to prepare its first communication in response to its commitments to the UNFCCC	1/25/99	6/24/99	02/18/00	12/00	0.35	Project under implementation.
Malawi*	UNDP	Enabling Malawi to prepare its first communication in response to its commitments to the UNFCCC	8/6/96	3/18/97	5/22/98	9/97	0.29	Initial National Communications finalized. Will be submitted during 2002.
Mali*	UNDP	Enabling Mali to prepare its First National Communication to the UNFCCC	4/3/97	7/16/97	1/9/98	6/98	0.20	Initial National Communication submitted in November 2000.
Malta	UNDP	Enabling Malta to prepare its First National Communication to the UNFCCC	10/25/99	11/9/99	12/31/99		0.26	Initial National Communication being finalized.
Mauritania*	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	2/4/97	7/22/97	2/4/98	2/98	0.35	Initial National Communication submitted in June 2002.

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			I. EXPEDITED PROCEDURES					
Mauritius	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	6/17/97	7/17/97	8/7/97	11/98	0.14	Initial National Communication submitted in May 1999
Moldova	UNDP	Enabling Moldova to prepare its First National Communication to the UNFCCC	7/7/97	8/15/97	12/22/97	6/98	0.43	Initial National Communication submitted in November 2000
Mongolia	UNEP	Preparation of initial national communication in response to the UNFCCC	9/23/98	10/5/98	11/12/98	11/98	0.24	Initial National Communication submitted in November 2001.
Morocco	UNDP	Enabling Morocco to prepare its First National Communication to the UNFCCC	3/9/99	10/6/99	2/22/00	12/00	0.14	Initial National Communication submitted in November 2001.
Mozambique*	UNDP	Enabling Mozambique to prepare its first national communication to the UNFCCC	10/96	7/16/97	2/98	9/97	0.22	Initial National Communication being finalized.
Nepal*	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	1/12/98	3/4/98	8/99	12/00	0.31	GHG Inventory completed.

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			I. EXPEDITED PROCEDURES					
Nicaragua	UNDP	Enabling Nicaragua to Prepare its First National Communication in Response to its Commitments to the UNFCCC	4/3/97	2/3/98	7/14/98	9/98	0.30	Initial National Communication submitted in July 2001
Niger*	UNDP	Enabling Niger to prepare its First National Communication to the UNFCCC	9/2/96	8/25/97	4/1//98	12/97	0.45	Initial National Communication submitted in November 2000
Nigeria	UNDP	Enabling Activities for the Implementation of UNFCCC	8/7/96	3/18/97	10/23/97	12/97	0.26	Initial National Communication finalized and will be submitted during the first quarter of 2002
Niue	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	7/23/97	9/29/97	11/11/97	7/98	0.30	Initial National Communication Submitted in October 2001
Oman	UNDP	Capacity Building to enable Sultanate of Oman to Prepare its National Action Plan and First National Communication	02/05/00	03/28/02			0.30	Project document being finalized

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			I. EXPEDITED PROCEDURES					
Pakistan	UNEP	Enabling Activity for the Preparation of the Initial National Communication Related to the UNFCCC	11/28/98	12/2/98	2/9/99	2/99	0.27	All sectoral reports completed and reviewed technically. Awaiting finalization of national communication.
Palau	UNDP	Enabling Palau to prepare its First National Communication and National Implementation Strategy in Response to the UNFCCC	5/11/00	9/5/00	12/7/00	6/01	0.31	Initial National Communication is expected to be presented by early 2003.
Panama	UNDP	Enabling Panama to prepare its First National Communication to the UNFCCC	7/14/97	8/25/97	11/8/98	12/98	0.30	Initial National Communication Submitted in July 2001.
Paraguay	UNDP	Enabling Paraguay to Prepare its First National Communication to the UNFCCC	6/25/98	7/27/98	2/22/99	12/99	0.29	Initial National Communication submitted 10 April 2002
Peru	UNDP	Enabling Peru to prepare its First National Communication to the UNFCCC	4/9/97	7/16/97	2/4/98	6/98	0.20	Initial National Communication Submitted in August 2001.

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I EXPEDITED PROCEDURES								
Philippines	UNDP	Enabling the Philippines to Prepare A National Communication Program in Response to its Commitments to the UNFCCC	5/15/97	7/24/97	11/27/97	12/97	0.25	Initial National Communication submitted in May 2000
Rwanda	UNEP	Enabling Activity for the preparation of Initial National Communication in response to its commitment to UNFCCC		6/22/01			0.33	Project management team sep up
Sao Tome	UNDP	Enabling Activity to prepare its First National Communication for its implementation of the UNFCCC	09/12/00	1/23/01	04/19/01		0.34	Project under implementation
Saudi Arabia	UNDP	Enabling Saudi Arabia to Prepare its First National Communications in response to commitments to the UNFCCC	07/10/00	02/27/02			0.35	Project document being finalized

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			I. EXPEDITED PROCEDURES					
Slovenia	UNDP	Enabling Slovenia to Prepare its First National Communications in response to commitments to the UNFCCC		8/5/97	11/24/97	01/98	0.44	Project under implementation
St. Kitts & Nevis	UNDP	Enabling St. Kitts & Nevis to prepare its First National Communication to the UNFCCC	12/19/97	2/3/98	10/8/98	06/98	0.16	Initial National Communication submitted in November 2001
St. Lucia	UNDP	Enabling St. Lucia to prepare its First National Communication to the UNFCCC	5/15/96	8/6/97	7/16/98	12/98	0.17	Initial National Communication submitted in November 2001
St. Vincent and the Grenadines	World Bank	Enabling St. Vincent and the Grenadines to Prepare its First National Communication in Response to its Commitments to the UNFCCC	3/16/98	4/28/98	7/23/98	6/99	0.35	Initial National Communication submitted in November 2000
Senegal	UNDP	Enabling Senegal to prepare its First National Communication to the UNFCCC	6/97	8/25/97	11/28/97	12/97	0.20	Initial National Communication submitted in December 1997

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I. EXPEDITED PROCEDURES								
Seychelles	UNDP	Enabling Seychelles to prepare its first national communication	11/16/95	7/30/96	12/3/96	9/97	0.35	Initial National Communication submitted in November 2000.
Sierra Leone*	UNDP	Enabling Sierra Leone to prepare its first national communication to the UNFCCC	7/9/96	9/11/96	04/09/2002	Disbursement data awaited	0.31	Project under implementation
South Africa	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	4/17/98	6/1/98	10/16/98	10/98	0.32	Draft national communication completed in July 2001.
Sri Lanka	UNDP	Enabling Sri Lanka to prepare its first national communication	6/7/96	3/2/97	11/4/97	12/97	0.21	Initial National Communication submitted in November 2000.
Suriname	UNDP	Enabling Suriname to prepare its initial National Communication in Response to its Commitments to the UNFCCC	5/19/98	9/10/98	10/19/98	12/1/99	0.40	Project under implementation.

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I. EXPEDITED PROCEDURES								
Swaziland	UNDP	Enabling Activity for implementation of the UNFCCC	11/22/96	3/18/97	11/28/97	12/97	0.30	Initial National Communication submitted 21 May 2002
Tajikistan	UNDP	Enabling Tajikistan to Prepare its First National Communication in Response to its Commitments to the UNFCCC	3/7/00	6/23/00	10/17/00		0.33	Draft Initial National Communication under preparation
Tanzania*	UNEP	Enabling activity for the preparation of First National Communication	5/2/97	7/17/97	8/30/97	3/98	0.25	Draft National Communication completed in January 2002
Thailand	UNDP	Enabling Thailand to prepare its first national communication to the UNFCCC	9/22/97	11/13/97	6/5/98	3/98	0.29	Initial National Communication submitted in March 2001
The F.Y.R. of Macedonia	UNDP	Enabling the F.Y.R. of Macedonia to Prepare its First National Communication in Response to its Commitments to the UNFCCC	10/8/98	2/5/99	8/4/99	12/99	0.35	Project under implementation

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			I. EXPEDITED PROCEDURES					
Togo*	UNDP	Enabling Togo to prepare its first national communication to the UNFCCC	2/20/97	6/18/97	4/98	9/97	0.44	Initial National Communication submitted in December 2001.
Tonga	UNDP	Enabling Tonga to prepare its first national communication to the UNFCCC	5/10/99	10/27/99	6/5/00	12/2000	0.32	Project under implementation
Trinidad & Tobago	UNDP	Enabling activity for the preparation of First National Communication	1/5/98	1/22/98	5/18/98	6/99	0.22	Initial National Communication submitted 30 November 2001
Turkmenistan	UNEP	Enabling activity for the preparation of First National Communication	5/13/97	6/17/97	8/11/97	1/98	0.35	Initial National Communication submitted in March 2001.
Uganda*	UNDP	Enabling Uganda to prepare its first national communications	8/22/95	7/30/96	12/28/97	6/97	0.19	Project under implementation.
Venezuela	UNDP	Support of the Government of Venezuela for the preparation of the First National Communication on Climate Change	5/18/2000	11/28/00			0.35	Project implementation Commenced April 2001

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I. EXPEDITED PROCEDURES								
Vietnam	UNEP	Preparation of initial national communication related to the UNFCCC	5/29/98	11/6/98	3/99	3/99	0.21	All sectoral reports completed and technically reviewed.
Yemen*	UNDP	Enabling Yemen to prepare its First National Communication to the UNFCCC	4/22/97	5/19/97	8/12/ 97	9/98	0.20	Initial National Communication submitted in October 2001
Zambia*	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	11/14/96	4/24/97	6/23/97	7/98	0.26	Draft Initial National Communication approved by the Government in June 2002
Zimbabwe	UNEP	Enabling Activity for the preparation of Initial National Communication to UNFCCC	11/4/96	2/7/97	3/7/97	2/98	0.09	Initial National Communication submitted in May 1998

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II. FULL PROJECTS (Standard approval procedures)								
Cook Islands, Fiji, Kiribati, Marshall Islands, Fed. States of Micronesia, Nauru, Samoa*, Solomon Islands*, Tuvalu, Vanuatu*.	UNDP	Pacific Island Climate Change Assistance Project (PICCAP)	N.A. Multi-Country Project	3/20/97	4/8/97	6/97	3.44	Project working closely with CC: Train (Phase 2). Niue participated in PICCAP with its own resources. Micronesia submitted its Initial National Communication in December 1997 and Cook Islands, Kiribati, Marshall Islands, Nauru, Samoa, Tuvalu and Vanuatu submitted theirs in October 1999
Argentina	UNDP	Country Study on Climate Change	12/7/94	1/17/96	2/16/96	6/96	1.00	Initial National Communication submitted in July 1997.
Armenia	UNDP	Country Study on Climate Change	3/31/95	12/15/95	5/7/96	12/96	0.35	Initial National Communication Submitted in November 1998.

* asterisk indicates Least Developed Country status (Source: Human Development Report 1999, UNDP, website: http://www.undp.org/hdro/report.html); brackets indicate change to Annex I status
[2] Month/Day/Year (or Month/Year)
[3] Month/Year of financial statement report in which first disbursement is recorded. Actual disbursement would have occurred in fiscal quarter preceding the date

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II. FULL PROJECTS (Standard approval procedures)								
Bhutan*, Kingdom of	UNDP	Bhutan National Greenhouse Gas Project	1/30/96	6/26/96	8/13/96	6/97	0.40	Initial National Communication Submitted in November 2000.
Botswana	UNDP	Enabling Botswana to fulfill its commitments to the UNFCCC	11/18/94	8/14/96	9/5/96	9/96	0.35	Initial National Communication Submitted in October 2001.
Brazil	UNDP	Enabling Brazil to fulfill its commitments to the UNFCCC	8/31/95	6/14/96	8/1/96	12/96	1.50	First draft Initial National Communication to be submitted first quarter of 2002.
China	UNDP	China's Initial National Communication: Needs Assessment and Enabling Activity Preparation	2/25/00	5/9/00			3.60	The project for China to prepare its first national communication was approved by GEF Council.
Costa Rica	UNDP	Building National Technical Capacity to Develop Options for GHG emissions reductions and carbon sinks enhancement	12/8/94	6/7/96	6/14/96	12/96	0.47	Initial National Communication Submitted in November 2000.

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II. FULL PROJECTS (Standard approval procedures)								
Congo*, Democratic Republic of	UNDP	Enabling DR Congo to fulfil its commitments to the UNFCCC	8/17/95	3/7/97	7/97	Disbursement data awaited	0.35	Initial National Communication Submitted in November 2000
Egypt	UNDP	Building Capacity for GHG Inventory and Action Plans in Egypt	11/16/94	4/22/96	6/12/96	12/96	0.45	Initial National Communication submitted in July 99
India	UNDP	Enabling Activity for the Preparation of India's Initial commitments to the UNFCCC	9/28/99	12/17/99	6/01	Disbursement awaited	2.00	Project under implementation
Jordan	UNDP	Capacity Building to enable response to the UNFCCC	11/12/94	10/17/95	4/18/96	9/96	0.24	Additional top-up for US$87,500 for V&A incorporated into original activities. Remaining components under completion
Lao People's Democratic Republic*	UNDP	National GHG Inventory Project	7/19/95	7/29/96	3/97	6/97	0.31	Initial National Communication Submitted in November 2000

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II. FULL PROJECTS (Standard approval procedures)								
Lebanon	UNDP	Building capacity for GHG Inventory and Action Plans in response to the UNFCCC	3/11/95	7/11/96	12/11/96	9/97	0.29	Initial National Communication submitted November 1999
Malaysia	UNDP	National GHG Inventory and Response to the UNFCCC	4/1/95	9/13/96	10/30/96	12/97	0.47	Initial National Communication Submitted in August 2000
Maldives*	UNDP	National GHG Inventory and Adaptation Assessment to climate change	10/29/94	10/4/96	11/16/96	6/97	0.86	Initial National Communication Submitted in November 2001
Mexico	UNDP	Development of GHG Emission Coefficients from Live Systems in Central Mexico & development of a related information management system	12/2/94	6/7/96	10/29/96	12/96	0.31	Initial National Communication submitted in December 1997
Papua New Guinea	UNDP	Climate Change Assistance Project	1/17/96	12/30/96	1/98	9/98	0.35	Initial National Communication submitted 27 February 2002
Sudan*	UNDP	Capacity Building to enable the Sudan's response and communication to the UNFCCC	3/20/95	10/3/96	2/4/97	12/97	0.29	Initial National Communication being finalized

COUNTRY*	IMPLEMENTING AGENCY	PROJECT TITLE	DATE OF COUNTRY ENDORSEMENT[2]	DATE OF GEF COUNCIL APPROVAL[2]	DATE OF PROJECT DOCUMENT SIGNATURE BY AGENCY[2]	DATE OF FIRST DISBURSEMENT [3]	AMOUNT OF GEF ALLOCATION (IN US$ MILLIONS)	COMMENTS
II. FULL PROJECTS (Standard approval procedures)								
Tunisia	UNDP	National Strategy and Action Plans for emission reduction and communications under the UNFCCC	2/3/95	8/14/96	9/6/96	6/97	0.57	Initial National Communication submitted in October 2001
Uruguay	UNDP	Institutional strengthening and enabling activities to comply with the UNFCCC	11/25/94	11/13/95	12/18/96	6/96	0.70	Initial National Communication submitted in October 1997
Uzbekistan	UNDP	Country Study on Climate Change	8/7/95	1/2/97	4/2/97	6/97	0.33	Initial National communication submitted in October 1999

COUNTRY*	IMPLEMENTING AGENCY	PROJECT TITLE	DATE OF COUNTRY ENDORSEMENT[2]	DATE OF GEF COUNCIL APPROVAL/ ENTRY INTO GEF WORK PROGRAM [2]	DATE OF PROJECT DOCUMENT SIGNATURE[2]	DATE OF FIRST DISBURSEMENT [3]	GEF ALLOCATION (IN US$ MILLIONS)	COMMENTS
III. PROJECTS COVERING LIMITED COMPONENTS OF FIRST NATIONAL COMMUNICATION FROM NON-ANNEX I PARTIES								
Global	UNDP/UNEP	National Communications Support Programme	N.A.	3/31/98	8/98	N.A.	3.20	Twenty-eight thematic and regional exchange workshops have taken place: 5 on inventories, 6 on abatement, 8 on vulnerability and adaptation (V&A), 1 training on V&A, and 8 on national communications. Technical reviews on national communication components have been carried out for 30 countries, 1 in-depth country review carried out 13 key publications have been disseminated, a further 4 are under development. A website and list-server have been established.

* asterisk indicates Least Developed Country status (Source: Human Development Report 1999, UNDP, website http://www.undp.org/hydro/report.html), brackets indicate change to Annex I status
[2] Month/Day/Year (Month/Year)
[3] Month/Year of financial statement report in which first disbursement is recorded. Actual disbursement would have occurred in fiscal quarter preceding the date.

COUNTRY*	IMPLEMENTING AGENCY	PROJECT TITLE	DATE OF COUNTRY ENDORSEMENT[2]	DATE OF GEF COUNCIL APPROVAL / ENTRY INTO GEF WORK PROGRAM [2]	DATE OF PROJECT DOCUMENT SIGNATURE[2]	DATE OF FIRST DISBURSEMENT [3]	GEF ALLOCATION (IN US$ MILLIONS)	COMMENTS
III. PROJECTS COVERING LIMITED COMPONENTS OF FIRST NATIONAL COMMUNICATION FROM NON-ANNEX I PARTIES								
Antigua Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Jamaica, St. Kitts and Nevis, St. Lucia, Trinidad and Tobago	World Bank	Regional (CARICOM) Planning for Adaptation to Climate Change	N.A. Multi-Country Project	2/10/97	03/13/97	4/30/97	6.30	
Antigua and Barbuda, Cameroon, (Estonia), Pakistan	UNEP	Country Studies on Climate Change Impacts and Adaptation Assessment	N.A. Multi-Country Project	2/96	5/1/96	N.A.	2.00	Project completed. All country reports submitted.
Argentina, Ecuador, (Estonia), (Hungary), Indonesia, Mauritius, Senegal, Vietnam	UNEP	Economics of GHG Limitation-Methodological Framework for Climate Change Mitigation Assessment	N.A. Multi-Country Project	1/18/96	3/18/96	N.A.	3.00	Under implementation. Training workshops held Aug. 96, May 97.

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III. PROJECTS COVERING LIMITED COMPONENTS OF FIRST NATIONAL COMMUNICATION FROM NON-ANNEX I PARTIES								
Benin*, Bolivia, Chad*, Cook Islands, Cuba, Ecuador, Fiji, Kiribati, Marshall Islands, Nauru, Paraguay, Peru, Senegal, Solomon Islands*, Tuvalu, Vanuatu*, Samoa*	UNDP	Climate Change Capacity Building CC: TRAIN-Phase II	N.A. Multi-Country project	3/26/96	3/27/96	N.A.	2.70	All Regional Training Workshops now completed. Operating in parallel with PICCAP for Pacific countries. Operating in close collaboration with activities undertaken by UNDP Sub-Saharan Africa capacity building project
Vietnam	UNDP	Climate Change Capacity Building	N.A.	---	---	N.A.	0.90	

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III. PROJECTS COVERING LIMITED COMPONENTS OF FIRST NATIONAL COMMUNICATION FROM NON-ANNEX I PARTIES								
Algeria, Libya, Morocco, & Tunisia	UNDP	Building Capacity in the Maghreb to respond to the challenges and opportunities created by the UNFCCC	N.A.	5/93	12/7/94	N.A.	2.50	Under implementation. Training activities and workshops on CC issues held regularly. Second TPR meeting held May 27, 1998.
Bangladesh*, China, Indonesia, Korea (DPR), Korea (RO)[1], Mongolia, Myanmar*, Pakistan, Philippines, Thailand & Vietnam	UNDP	Asia Least-cost GHG Abatement Strategy (ALGAS)	N.A.	12/91	8/18/94	N.A.	9.50	Project operations for 10 of 12 countries have been completed. The Final Project Review Board meeting took place April 1999. A donor consultative meeting was held early 1999. Korea (RO) submitted its Initial National Communication February 1998.
Costa Rica, Gambia*, Mexico, Morocco, (Poland), Senegal, Tanzania*, Uganda*, Venezuela	UNEP	Country Case Studies on Sources and Sinks of Greenhouse Gases	N.A.	11/91	9/28/92	N.A.	4.50	Project completed in March 1997.

[1] The Republic of Korea participated in Asia Least-cost GHG Abatement Strategy (ALGAS) at its own expense

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III. PROJECTS COVERING LIMITED COMPONENTS OF FIRST NATIONAL COMMUNICATION FROM NON-ANNEX I PARTIES								
Ghana, Kenya, Mali and Zimbabwe	UNDP	Building capacity in Sub-Saharan Africa to respond to the UNFCCC	N.A.	12/92	8/16/95	N.A.	2.00	Activities completed. Final evaluation mission in October 1998 concluded that project had successfully achieved all objectives. Results were presented at the COP4 in November 1998 and were very well received by all participants.
China	UNDP	Issues and Options in GHG emissions control	N.A.	5/91	3/6/92	—	2.00	Project completed in April 1995 and provides a framework for identifying new GEF climate change projects in China.
India	UNDP	Cost-Effective Options for Limiting GHG emissions	N.A.	5/93	6/4/98	12/98	1.50	Project under implementation. Top-up proposal to complete national communications is in the pipeline.

Terms used in the Table

'Date of GEF Council Approval': For 'Expedited Procedure Projects', 'Date of Council Approval' is the date of CEO approval.

'Disbursement data awaited': Disbursement data not yet available for approved commitment by the Implementing Agency.

'Expedited Procedure Projects':	Projects approved using 'Expedited Procedures' whereby CEO approves project under authority delegated to him by the GEF Council.
'First Date of Disbursement':	The data is drawn from the relevant quarterly financial statement report submitted by the Implementing Agency to the Trustee. The first date of disbursement therefore indicates the date of the quarterly financial report in which the first disbursement under the project is reported to the Trustee. (see Explanatory Notes). Actual disbursement would have occurred earlier in quarter preceding the date of the report.
'N.A.':	Not applicable
'Pilot Phase Projects':	Projects that were approved before the Instrument for the Establishment of the Restructured GEF was accepted in March 1994.
'Projects Approved through Standard Procedures':	Projects approved under the full project cycle of the restructured GEF, including approval by the Council.

Explanatory Notes

UNDP disbursement data:	Note that UNDP began submitting quarterly financial reports in September 1995.

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